

Management System: Records Management
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Subject Area: Records Management

Procedure: Destruction of Temporary Unclassified Paper Records

Issue Date and Revision Number: 06/02/14 Rev. 0	Lead Subject Matter Expert: Jackie Schoultheis or Kathy Reid	Management System Owner: John Sattler
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1.0 Applicability

This procedure applies to all Environmental Management Consolidated Business Center (EMCBC) organizations and may be adopted by an Environmental Management (EM) small site or supported site, at their discretion.

2.0 Required Procedure

Federal records are to be maintained and dispositioned in accordance with the National Archives and Records Administration (NARA)-approved Department of Energy (DOE) Records Disposition Schedules (Reference 3.1.1). This procedure addresses the steps required for the destruction of Federal records that have met their retention period and only covers the destruction of temporary “non-classified” paper records. There are additional requirements and/or steps for the destruction of “classified” and/or “electronic” records, which will be addressed in a separate procedure or added to this one at a later date.

The penalties for the unlawful or accidental removal, defacing, alteration, or destruction of Federal records (unauthorized disposal) or the attempt to do so, includes a fine, imprisonment, or both (18 U.S.C. 641 and 2071).

▲ Clarifying terms if adopted by an EM small site:

- Records Coordinator (RC) replaces the term Record Custodian (RC).
- The small sites Records Management Field Officer (RMFO) replaces the term RMFO.

Step 1	There are several ways to begin the destruction of records:
	a) The Records Management Field Officer (RMFO) in consultation with the organizational Records Custodians (RC) or Record Coordinator (RC) shall conduct an annual review of the organizational file plan/site file plan to determine collections of records eligible for destruction.

	<p>b) Records held by a record holder (RH), that are eligible for destruction shall be processed and transferred by the RH and/or RC to the EMCBC records holding area (or applicable storage area at a small site). See Procedure: <i>“Transferring Inactive Paper Records to Records Holding Area/Records Storage Facility”</i> (Reference 3.1.2).</p> <p>c) The RMFO and/or RC shall conduct annual reviews of inactive record holding area(s) for records eligible for destruction.</p> <p>d) The Federal Records Center (FRC) will notify the RMFO and/or RC of pending records disposals via a Notice of Eligibility for Disposal (NA 13001) (Forms 3.2.1) ninety (90) days in advance of the scheduled destruction.</p> <p>e) The RMFO shall work with the Contracting Officer to ensure applicable language is incorporated into contracts and/or Contractors are notified that no Federal records maintained by the contractor are destroyed without the applicable approvals.. The Contractor shall be advised that they are to coordinate approvals for record destructions through the RC and the RMFO utilizing a DOE approved disposition process. The process shall document the approval process and destruction methods to be utilized.</p> <p>▲ Note: Contact a member of the EMCBC RM staff for assistance.</p>
Step 2	<p>RM staff and/or RC shall initiate the Records Destruction Authorization Certificate (Forms 3.2.2) for records eligible for destruction and submit to the RMFO.</p> <p>▲ Note: A detailed description of the records shall be included on the Records Destruction Authorization Certificate and if a box index is available, the index shall be included to provide reviewers with enough information to make decisions.</p>
Step 3	<p>The RMFO shall review the Records Destruction Authorization Certificate to verify proper scheduling, retention, and that the records do not fall under a current records hold/freeze/moratorium or the epidemiological moratorium.</p> <ul style="list-style-type: none"> • If approved, sign the Records Destruction Authorization Certificate and proceed to Step 4. <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> • If not approved, due to scheduling concern or retention requirements, the RMFO shall work with the RM staff, organizational RC or small sites RC to resolve any issues/concerns. Once addressed, proceed to Step 4.
Step 4	<p>The RMFO shall submit the EMCBC Records Destruction Authorization Certificate to the Assistant Director (AD), Functional Area Manager (FAM) and/or the small sites Federal Project Director (FPD) for their review.</p>

Step 5	<p>The AD, FAM, and/or FPD shall review the Records Destruction Authorization Certificate to ensure there are no special circumstances that may require the records to be retained beyond their scheduled disposition date.</p> <ul style="list-style-type: none"> • If approved, the AD, FAM and/or FPD shall sign the Records Destruction Authorization Certificate and return to the RMFO. <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> • If not approved, provide a detailed reason why the records cannot be destroyed, along with the appropriate timeframe the records need to be retained on the EMCBC Records Destruction Authorization Certificate and forward to the RMFO. [proceed to Step 9] <p>▲ Note: Record reviews are performed at the box description and/or index level, especially for those records stored at a FRC. If questions exist, the reviewer may request that the RMFO retrieve the records for further review prior to proceeding with destruction approval.</p>
Step 6	<p>The RMFO shall submit the Records Destruction Certificate to the EMCBC Office of Chief Counsel (OCC) for review.</p>
Step 7	<p>OCC reviews to ensure there is no ongoing or anticipated litigation, or any other legal issues that may require the records to be retained beyond their scheduled disposition date.</p> <p style="text-align: center;">If approved, OCC signs the Records Destruction Authorization Certificate and return to the RMFO.</p> <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> • If not approved, provide a detailed reason why the records cannot be destroyed along with the appropriate timeframe the records need to be retained on the EMCBC Records Destruction Authorization Certificate and forward to the RMFO. [proceed to Step 9]
Step 8	<p>a) For records maintained at the EMCBC, the RMFO shall coordinate approved record destructions:</p> <p style="padding-left: 20px;">On-site destructions:</p> <ul style="list-style-type: none"> • Arrange a witnessed destruction internally or with a contracted shred company. • Obtain certificate of destruction from shred company. • Annotate the Records Destruction Authorization Certificate to indicate the physical destruction date, method and witness. <p>b) For records maintained at a small site, the RMFO shall send the RC the</p>

	<p>approved Records Destruction Authorization Certificate:</p> <p>c) The RC shall:</p> <ul style="list-style-type: none"> • Arrange for a witnessed destruction internally or with a contracted shred company. • Obtain certificate of destruction from the shred company. • Annotate the EMCBC Records Destruction Authorization Certificate to indicate the physical destruction date, method and witness. <p>d) For records maintained off-site (FRC), the RMFO shall:</p> <ul style="list-style-type: none"> • Notify the FRC of approval to destroy by signing the Eligibility for Disposal, form National Archives (NA) 13001 and sending to the FRC. • Annotate the Records Destruction Authorization Certificate and Standard Form (SF)135 "<i>Records Transmittal Receipt</i>" of the approval to destroy and attach the approved Eligibility for Disposal (NA 13001) to the SF135.
Step 9	<p>The RMFO shall document any disapprovals of destructions accordingly:</p> <p>a) On-site</p> <ul style="list-style-type: none"> • For records maintained in the EMCBC Records Holding Area, file the Records Destruction Authorization Certificate for follow-up later based on additional required retention. • For records maintained at an FRC, notify FRC of disapproval via the Eligibility for Disposal (NA 13001). <p>b) Small Site</p> <ul style="list-style-type: none"> • Notify the RC of disapproval. • For records maintained on-site, the RC shall file disapproved destruction certificate paperwork for follow-up based on additional retention requirements. • For records maintained at the FRC, the RMFO shall notify the FRC and the RC of disapproval via the Eligibility for Disposal (NA 13001). The RC shall file disapproved destruction certificate and NA form 13001 paperwork for follow-up based on additional retention requirements.
Step 10	<p>The EMCBC RMFO and/or the RC files the completed Records Destruction Authorization Certificate (approvals and/or disapprovals) and the annotated SF135 (if applicable) in accordance with the EMCBC and/or site file plan for use as a records "finding aid".</p>

3.0 References – Forms/Attachments/Exhibits

3.1 References

3.1.1 NARA-approved DOE Records Disposition Schedules

3.1.2 Procedure: “*Transferring Inactive Paper Records to Records Holding Area/Records Storage Facility*”

3.2 Forms

3.2.1 Notice of Eligibility for Disposal, Form National Archives (NA) 13001

3.2.2 EMCBC Records Destruction Authorization Certificate, Form-OTSAM-243-06-F1

4.0 Records Generated

Records generated through implementation of this procedure are identified as follows and are maintained by the Office of Technical Support & Asset Management in accordance with the EMCBC organizational file plan. Small sites shall maintain records under the same records category code (disposition authority) and manage in accordance with their site file plan.

Records Category Code	Records Title	Responsible Organization	QA Classification (Lifetime, Non-Permanent or N/A)
ADM 16-02-A2	Records Disposition Files – EMCBC Records Destruction Authorization Certificate and Supporting Documents	Office of Technical Support & Asset Management	Not Applicable

EMCBC RECORD OF REVISION**DOCUMENT TITLE: Destruction of Temporary Unclassified Paper Records**

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

- I Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
- I Placing the words GENERAL REVISION at the beginning of the text.

Rev. No.	Description of Changes	Revision on Pages	Date
0	New format	All	06/02/14