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Document title: Records Disposition Plan: Records Transfer, Records Destruction Procedure_____ Revision #: 1____ Approval date: _____

Item #	Reviewer (or organization)	Page #	Section, paragraph, or line #	Comment	Response
1	Kathy Reid	was page 7, now page 6	PMA EQ RM PRO 1406/ Item 10	Should read, submit completed SF135, not submit approved SF135.	Revised as requested. On revision changes made on page 6 item #9.
2	Kathy Reid	page 7	PMA EQ RM PRO 1404/Item 1	under RMDC staff, change the FRC will notify DOE of the pending disposal of records. RMFO will submit to PMA for processing.	Revised as requested.
3	Kathy Reid	page 8	Item 4	add to between submit and RMFO	Revised as requested.
4	Kathy Reid	page 9, 10	Item 7.d second bullet, Item 7.g second bullet and page 10 item j second bullet	recomment changing to the boxes are to be pulled and reviewed, if required.	Revised as recommended.
5	Kathy Reid	page 10	Item L (RMDC Manager)	states PMA RMDC Manager approves the Notice of Eligibility for Disposal, but should read that the form, along with approved PMA Destruction Certificate is submitted to the RMFO for approval and submittal to the FRC.	Revised as requested.
6	Kathy Reid	page 12	Item P	believe this should read that the reason is documented on the destruction certificate and within Documentum instead of the file plan as the file plan doesn't document each grouping of records, but is a high level document that describes categories/series of records.	Revised as requested.



PMA EQ RM PRO 1404

Rev. No. 1
9/14/16

Records Destruction

Page 1 of 20

Document Type:		Procedure		Effective Date: 9/13/16	
Periodic Review:		Frequency: Procedures		Due Date 9/13/2019	
Document Ownership (Name):					
Department:	Function:	Owner:	Technical Specialist:	Performance Document Specialist:	
ESH&Q	RM - Records Management	Alicia Coulson	Alicia Coulson	Eric Anderson	
Approved By: Alicia Coulson			Date 9/13/2016		
Document Review and Authorization:					
Authorization Authenticated By E-Mail (On File)					
<i>Note: Blank space indicates pending; contact reviewer/owner for direction when applicable</i>					
Determination					
YES	NO	Explanation			
ESH&Q - Safety (i.e., ISMS, Other)					
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Additional safety documentation applicable and on file <i>(If Yes, contact ESH&Q, as needed)</i>		Dan Longpre	4/25/2016
Security - Classification and Export Controlled Information (ECI)					
Classification					
<input type="checkbox"/>	<input type="checkbox"/>	Approved for public release		Choose an item	Click here to enter a date
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Approved for release to DOE/DOE Contractor Only			
<input type="checkbox"/>	<input type="checkbox"/>	OUO <i>(If Yes Contact Owner for access)</i>			
Export Controlled Information (ECI)					
<input type="checkbox"/>	<input type="checkbox"/>	Document Contains ECI <i>(If Yes, Contact Owner for access)</i>		<i>Choose an item.</i>	Click here to enter a date
Quality/Owner - Quality Record					
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Generates a quality record		Eric Anderson	4/25/2016
<i>A QA record is a completed document that furnishes evidence of the quality of items and/or activities affecting quality. Only records generated from work activities important to nuclear safety will be maintained as NOA-1 QA Records.</i>					
<i>Records generated or received in the use of performance documents must be submitted to PMA Records Management Document Control for record retention and disposition according to Records Life Cycle and Retrieval. For detailed instruction on receipt and transfer of records to RMDC see PMA EQ RM PRO 1405, Record Transfer. PMA employees and contractors must not conceal or destroy any information, including non-compliance or potential non-compliance records. (Reference 18U.S.C. 2071, "Unauthorized Removal and/or Destruction of Records.")</i>					
<i>This document is currently awaiting Security classification and ECI review, and is currently authorized for release to DOE/DOE Contractor ONLY. This document must be encrypted if electronically sent to DOE/DOE Contractor outside the PMA network firewall. Release other than DOE/DOE Contractor ONLY must be approved by Security prior to release.</i>					

REVISION LOG		
Revision Number	Description of Changes	Pages Affected
0	Initial release	All

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PURPOSE The purpose of this procedure is to establish responsibilities and provide detailed instructions for the destruction of temporary records that have met their authorized retention period for the U.S. Department of Energy (DOE) and Portsmouth Mission Alliance, LLC (PMA). It also provides information and defines responsibilities to familiarize PMA site employees, under the purview of the Infrastructure Support Services (ISS) contract, with program requirements for destruction of temporary records.

SCOPE This procedure only applies to the destruction of temporary unclassified records in paper or electronic format. There are additional requirements for the destruction of “classified” and/or “electronic” records see PMA SS CL MAN 2056, *Classified Matter Protection Program Manual for the Portsmouth Gaseous Plant* for guidance.

This procedure applies to all PMA staff and subcontractors who maintain or are custodians of records. PMA employees and contractors must not conceal or destroy any information, including non-compliance or potential non-compliance records. Reference: 18 U.S.C. 2071, *Unauthorized Removal and/or Destruction of Records*. Record destruction must be approved per DOE Legal disposition according to record retention schedule and National Archives and Records Administration (NARA) guidelines.

- OTHER DOCUMENTS NEEDED**
- PMA EQ RM PRO 1401, *Record Life Cycle and Retrieval*
 - PMA EQ RM FOR 1436, *Records Destruction Authorization/Certificate*
 - NARA Standard Form (SF) 135, *Records Transmittal and Receipt*
 - NARA form NA 13001, *Notice of Eligibility for Disposal*

- RESPONSIBILITIES**
- A. Records Management and Document Control (RMDC) Staff**
1. Develops, implements, and maintains a disposition of temporary records program to ensure records are promptly dispositioned according to applicable regulations.
 2. Reviews all destruction certificates to ensure applicable disposition authorities and retention schedules are used.
 3. Coordinates records destruction requests to ensure all required signatures are obtained on the PMA EQ RM for 1436, *Records Destruction Authorization/Certificate* prior to approving actual destruction of records.
 4. Reviews destruction certificates to ensure there are no special circumstances that may require a record to be retained beyond its scheduled disposition date.
 5. For internal destructions, works with the Business Manager to procure destruction services from a National Association for Information Destruction, Inc. (NAID) certified vendor or coordinate the destruction in-house.

6. Observes internal destructions, completes the Destruction Certificate(s), obtains DOE Legal approval through Records Manager Field Officer (RMFO) and obtains vendor certification, updates both paper files and Documentum®.
7. Obtains classification review and radiological survey on records approved for destruction by DOE Legal.

B. Business Manager

1. Reviews destruction certificate to ensure there are no special circumstances that may require the record to be retained beyond its scheduled disposition date.
2. Identifies, communicates, and terminates legal holds (destruction freezes) as defined by the appropriate DOE Representative. Returns destruction certificate to RMDC Manager.

C. Functional Manager

Reviews destruction certificates for his/her specific work area, to ensure there are not special circumstances that require the record to be retained beyond its scheduled disposition date.

D. DOE Legal

Reviews and approves destruction certificates by signing the *Records Destruction Authorization/Certificate* and provides detailed reasons why records cannot be destroyed when applicable.

**GENERAL
INFORMATION**

A. Record Disposition Schedules

1. General Records Schedules (GRS) are issued by the Archivist of the United States to provide disposition authorization for records common to several or all agencies of the federal government. In 1978, use of the GRS was made legally mandatory. The disposal authorizations must be used by a federal agency to the greatest extent possible. Because these schedules are designed to cover records common to several agencies, many of the records descriptions are general. These records comprise an estimated one-third of the total volume of records created by federal agencies.

2. Since the GRS covers only records that are common among several agencies, for complete coverage of the disposition of all its records, each agency must independently develop schedules for its remaining records. Schedules developed by DOE include Administrative Record Schedules (which customize and replace some GRS schedules) and Programmatic Schedules which document the unique, substantive functions for which the agency is responsible (such as environmental records, nuclear weapons records, and research and development records).
3. All DOE records schedules are also approved by the Archivist of the United States.

B. Destruction of Temporary Records

1. The DOE records schedules authorize destruction of temporary records when their retention period expires. Records with restrictions, such as those containing personal privacy, proprietary business information, Official Use Only (OUO) or Unclassified Controlled Nuclear Information (UCNI), must be shredded or otherwise destroyed so as to be irretrievable. **If** those records are destroyed by outside contractors, a federal employee, or if authorized by DOE, **then** a contractor must witness the destruction according to DOE M 470.4-4A, *Information Security Manual*.

Specific laws and regulations, including:

- 5 United States Code (U.S.C.), 552a, Public Law 93-579, *Privacy Act of 1974*
- 36 Code of Federal Regulations (CFR) 1228.58, *Destruction of Temporary Records*, governs the destruction of other restricted records.

Destroying temporary records shall include recycling where appropriate according to:

- Executive Order 13423, *Strengthening Federal Environmental, Energy, and Transportation Management*
- PMA EQ EN PRO 1011, *Management of Wastes at PORTS*, and
- Environmental Management System section of the plan, PMA (EQ SH PLA) PORTS 0055, *Integrated Safety Management System Plan (Including Environmental Management Systems and Worker Safety and Health Program) for the Infrastructure Support Services Contract Portsmouth Gaseous Diffusion Plant, Piketon, Ohio*.

C. Retention Periods

1. Items will be reviewed by their record series and corresponding records control schedule.

2. NARA regulations require the disposal of temporary records when their authorized retention periods expire. Retention periods for temporary records can be expressed in the following manner:

- A fixed period after records in a series or system are created (e.g., “Destroy when 2 years old”).
- A fixed period after a predictable event (contingent records e.g., “Destroy 3 months after work is performed or requisition is canceled”).
- Minimum and maximum periods can be expressed by combining these two elements (e.g., “Destroy when results are incorporated into summary reports, or when 5 years old, whichever is sooner”).

D. Destruction Risks

1. PMA must monitor records to prevent unauthorized destruction, which is illegal under federal law 44 U.S.C. 31, *Records Management by Federal Agencies*, and carries penalties of a fine and up to 3 years of imprisonment.

Agency staff must report to the RMDC staff any unlawful or accidental removal, defacing, alteration or destruction of records.

2. The authorized destruction report should include:

- A complete description of the records, along with volume and dates if known
- The office of origin
- An explanation of the exact circumstances surrounding the unauthorized action
- Details, when appropriate, of the actions taken to salvage, retrieve or reconstruct the records
- A statement of safeguards established to prevent further losses

3. Other major risks associated with destruction are:

- Delayed destruction: Temporary records must be destroyed promptly on or shortly after the approved destruction date. **If** destruction is not prompt, **then** the agency will be obligated to review and include those records in response to a discovery or Freedom of Information Act (FOIA) request.

- Improper destruction method or incomplete destruction: DOE must ensure that temporary records, especially classified, OOU, UCNI and other sensitive records, are destroyed in accordance with the applicable regulations. **If** destruction is not done properly, **then** information in records may be compromised or stolen. Offices must make certain any paper records and other media are completely destroyed, and that electronic records are destroyed in a manner that the record cannot be physically reconstructed.

E. Suspending Destruction (Freeze)

1. Records eligible for destruction should not be maintained beyond their disposition date. However, special circumstances may require continued retention. These circumstances include both of the following:
 - Records “holds” due to a business need, epidemiological, litigation, audit or FOIA requests.
 - Changes to the records retention period that are in process or have yet to be forwarded to the Federal Record Center (FRC).
2. In these circumstances, normal disposition activities for all records, regardless of media, must be suspended until the action is complete and offices have been notified that disposition may be resumed.
3. Legal holds, as defined by the DOE RMFO, shall be identified by the Business Manager, communicated to applicable organizations, and ultimately terminated when action is resolved and document reason for legal hold on the file plan.
4. **If** DOE requires retention of records stored at an FRC for more than one year past the scheduled destruction date, **then** DOE must request NARA’s approval to temporarily extend a retention period. **If** NARA approves an extension, **then** it will notify DOE. For records kept less than one year past the destruction date, no formal extension is necessary.

F. Review Process

RMDC staff annually reviews each organizational file plan to determine which records are eligible for destruction; this will typically be conducted at the beginning of a calendar year to allow the previous fiscal year records to be closed out. The file plan is submitted annually when requested by RMFO.

WHAT TO DO

A. Action Steps

RMDC Staff

1. **If** expired records are located externally (at a FRC), **then** the FRC will notify the DOE RMFO of the pending disposal of records via a NA 13001, *Notice of Eligibility for Disposal*, 90 days in advance of the scheduled destruction. The RMFO will submit to PMA for processing.

2. Upon receipt of *Notice of Eligibility for Disposal*, pull the hard copy of the SF 135, *Records Transmittal and Receipt* form.
3. Review the *Notice of Eligibility for Disposal*, and the *Records Transmittal and Receipt* forms and perform the following:
 - Confirm proper disposition authority was used.
 - Validate the record is eligible for destruction based on the cutoff date and retention period.
 - Check for any destruction freezes.
 - Ensure the box index (finding aid) is attached.
4. Submit to RMFO for review.
5. After RMFO review, perform either of the following:
 - a. Upon receiving RMFO approval, continue with the destruction approval process; go to step 7.
 - b. Provide detailed reason why the records cannot be destroyed, and retain records according to RMFO guidance.
6. When expired records located internally are eligible for destruction as delineated in the department approval file plans (PMA EQ RM FOR 1440, *RMDC Record Inventory* form), review and:
 - Verify box contents to index if applicable.
 - Verify document type is same for entire box.
 - Confirm the proper disposition authority was used.
 - Validate the record is eligible for destruction based on the cutoff date and retention period.
 - Check for any destruction freezes.
 - For paper records, ensure there is a box index (finding aid).
 - For electronic records, ensure records meets NARA requirements (contact RMDC for guidance).
 - At bottom of index box complete verified by name/date.
 - **If no index is present, then** verify box contents are same doc type and verify dates of record for determining retention if records are eligible for destruction.



7. Initiate the *Records Destruction Authorization/Certificate* by performing the following:

- a. For records located externally (at a FRC), attach a copy of the SF-135, *Records Transmittal and Receipt* and box index to the Destruction Certificate to allow a thorough review.
 - b. For records located internally, ensure the Destruction Certificate is very detailed and if possible include an index of the records (e.g., each file folder).
 - c. Obtain the appropriate Functional Manager and/or Line Manager review/approval.
 - d. Review destruction certificate to ensure there are no special circumstances that may require the record to be retained beyond its scheduled disposition date and perform one or both of the following steps, if needed:
 - Request and obtain additional approvals (e.g., another Line Manager or further technical review).
 - The boxes are to be pulled and reviewed, if required.
 - e. After review perform either of the following:
 - Approve by signing the PMA Records Destruction Authorization/Certificate and forward it to the Records Manager.
 - In the designated box on the PMA Records Destruction Authorization/Certificate, provide detailed reason why the records cannot be destroyed. Include an appropriate timeframe the records need to be retained then forward it to the Records Management staff.
 - f. **If** the Functional Manager does not approve the destruction, **then** provide detailed reason why the records cannot be destroyed and retain records according to RMFO guidance.
 - g. Review destruction certificate to ensure there are no special circumstances that may require the record to be retained beyond its scheduled disposition date and perform one or both of the following steps, if needed:
 - Request and obtain RMFO approval.
- Functional Manager
- RMDC Staff
- RMDC Manager

- The boxes are to be pulled and reviewed, if required.

h. After review, perform either of the following:

- Approve by signing the *Records Destruction Authorization/Certificate* and forward it to the Business Manager.
- In the designated box on the *Records Destruction Authorization/Certificate*, provide detailed reason why the records cannot be destroyed. Include an appropriate timeframe the records need to be retained document reason for non-destruction on file plan.

DOE Legal

i. After review, perform either of the following:

- Approve by signing the *Records Destruction Authorization/Certificate* **and** forward to the RMDC staff.
- In the designated box on the *Records Destruction Authorization/Certificate*, provide detailed reason why the records **cannot** be destroyed. Include an appropriate timeframe the records need to be retained; then forward it to the RMDC Staff.

Business
Manager

j. Review destruction request to ensure there are no special circumstances that may require the record to be retained beyond its scheduled disposition date and perform one or both of the following steps, if needed:

- Request and obtain additional approvals (e.g., another Functional Manager or further technical review).
- The boxes are to be pulled and reviewed, if required.

k. After review, perform either of the following:

- Approve by signing the *Records Destruction Authorization/Certificate* **and** forward to the RMDC staff.
- In the designated box on the *Records Destruction Authorization/Certificate*, provide detailed reason why the records **cannot** be destroyed. Include an appropriate timeframe the records need to be retained then forward it to the RMDC staff.

RMDC Manager

l. **Complete and submit** the *Notice of Eligibility for Disposal*, and the approved *PMA Destruction Certificate* to the RMFO for approval and submittal to the FRC.

m. If the destruction was **not** approved **or** the records are located internally, **then** perform the following:

- 1) Annotate (as follows) the original *Records Transmittal and Receipt*, noting that approval was given to the FRC for destruction of records:

APPROVED FOR DESTRUCTION, insert DATE, insert INITIALS.

- 2) Annotate on the Destruction Certificate, which is part of the *Records Destruction Authorization/Certificate* form, as shown below:

Destruction Certificate	
I hereby certify the above records have been destroyed	
Method of destruction: <i>[FRC]</i>	
Date records destroyed: <i>[insert date FRC notified]</i>	
Signature: <i>[signature of RMDC staff member who notified the FRC]</i>	
RMDC use only	

SF 135 annotated to show the records have been destroyed. (See attached SF 135)	

- 3) Scan the annotated *Records Transmittal and Receipt*, the *Notice of Eligibility for Disposal* and the annotated *Records Destruction Authorization/Certificate* to an electronic file (Portable Document Format [PDF], utilizing Optical Character Recognition [OCR]).
 - 4) Insert scanned images into Documentum (e.g., annotated *Records Transmittal and Receipt*, *Notice of Eligibility for Disposal* and the annotated *Records Destruction Authorization/Certificate*) in the Destruction Certificate File. See Attachment A for an example of a completed package.
- n. If all parties approve the destruction and the records are located internally, **then** the RMDC staff will prepare the records for destruction, by performing the following:
- 1) The RMDC staff will determine the method of destruction (e.g., recycling, pulping, shredding), as well as who will perform the destruction (i.e., internal or external).
 - 2) For electronic records, destroy the electronic file and the metadata in Documentum.
 - 3) Once the records have been destroyed, annotate on the Destruction Certificate, which is part of the *Records Destruction Authorization/Certificate form*, as shown below:



Destruction Certificate

I hereby certify the above records have been destroyed:

Method of destruction: *[insert method of destruction]*

Date records destroyed: *[insert date of destruction]*

Signature: *[signature of individual who either performed the destruction OR the RMDC staff member who witnessed the destruction]* RMDC use only

SF 135 annotated to show the records have been destroyed. (See attached SF 135)

NOTE: When applicable, the vendor certificate provides verification that the records have been destroyed.

- 4) Obtain certificate from vendor **and** attach it to the *Records Destruction Authorization/Certificate*.
- 5) Scan the Destruction Certificate to an electronic file (PDF utilizing OCR).
- 6) Insert scanned image into Documentum®; if applicable, include record radiological survey, classification review, and appropriate correspondence documenting destruction.
- o. **If all parties do not** approve the destruction and the records are located externally (at a FRC), **then** document reason on the *Notice of Eligibility for Disposal*, sign, date, copy **and** return it to the FRC. Perform the following:
 - 1) Annotate the *Records Transmittal and Receipt*, noting any change in disposal authority and/or justification.
 - 2) Scan the annotated *Records Transmittal and Receipt* to an electronic file (PDF utilizing OCR).
 - 3) Insert scanned image into Documentum® (replacing previously scanned version).
- p. **If all parties do not** approve the destruction and the records are located internally, **then** document reason on the *Destruction Certificate* and within Documentum.

RECORDS

Records generated or received must be submitted to PMA RMDC for records retention and disposition according to PMA EQ RM PRO 1401, *Record Life Cycle and Retrieval*. PMA employees and contractors must not conceal or destroy any federal records, including non-compliance or potential non-compliance records.

(Reference: 18 U.S.C. 2071, “Concealment, Removal, or Mutilation Generally”)

SOURCE DOCUMENTS

- 36 CFR 1228, *Loan of Permanent and Unscheduled Records*
- 36 CFR 1228.58, *Disposition of Federal Records, Destruction of Temporary Records*
- 44 U.S.C. 31, *Records Management by Federal Agencies*
- 44 U.S.C. 31, § 3101, *Records Management by Agency Heads; general duties*
- 44 U.S.C. 33, *Disposal of Records*
- 5 United States Code (U.S.C.), 552a, Public Law 93-579, *Privacy Act of 1974*
- DOE M 470.4-4A, *Information Security Manual*
- DOE M 471.3-1, Admin Chg. 1, *Manual for Identifying and Protecting Official Use Only Information*
- DOE O 243.1b, *Records Management Program*
- DOE O 471.1B, *Identification and Protection of Unclassified Controlled Nuclear Information*
- DOE O 471.3, Admin Chg. 1, *Identifying and Protecting Official Use Only Information*
- Executive Order 13423, *Strengthening Federal Environmental, Energy, and Transportation Management*

DEFINITIONS/ ACRONYMS

CFR — Code of Federal Regulations

Classified Information — Information that is classified as Restricted Data or Formerly Restricted Data under the *Atomic Energy Act of 1954*, or information determined to require protection against unauthorized disclosure under Executive Order 12958, *Classified National Security Information*, as amended, or prior executive orders, which is identified as National Security Information. For the security requirements and procedures affecting classified records, see DOE M 470.4-4A, *Information Security Manual*.

NOTE: DOE M 470 4-4A is only required if classified documents are involved.

CMBC — Consolidated Business Center

Destruction — Eliminate from a system a group of records in compliance with the appropriate records retention schedule so that they cannot be accessed, retrieved or recovered.

Disposition — Those actions taken regarding records no longer needed for the conduct of the regular current business of the holder. These actions include transfer to storage facilities or records centers, transfer of physical and/or legal custody to NARA and destruction.

Disposition Authority — DOE Record Control Schedule, which provides mandatory instructions for the disposition of the records.

DOE — U.S. Department of Energy

DOE Legal— Department of Energy Consolidated Environmental Management Consolidated Business Center (CMBC) legal approval for the disposal of records. This form may in addition be initiated by the Records Management Field Officer from the CMBC.

Electronic Records — Records that are stored in a form that only a computer can process. Electronic records may be the products of office automation or larger transactional automated applications. As with all records systems, systems containing electronic records must be designed so that adequate maintenance and disposition procedures are planned during the system's design phase.

Epidemiological Records — Records that contain information useful in determining the magnitude of exposures or health impacts (radiological or chemical) to workers or the public. This information can be related to the equipment, materials, and processes used on site; and include measurements of contaminants in the workplace, at release points, or the environment, work and medical histories of workers, and meteorological and other information helpful in determining the fate of contaminants released into the environment.

File Plan — A file plan is a comprehensive outline that defines the records series, file organization, active file locations, file transfer instructions, file retention and disposition instructions, and other specific instructions that provide guidance for effective management of records.

FOIA — Freedom of Information Act

FRC — Federal Records Center

GRS — General Records Schedule

ISS — Infrastructure Support Services

Line Manager — Any manager or supervisor. PMA's line managers include all levels of management: Project Manager, Deputy Project Manager, Department Managers, Functional Managers, Supervisors, and Subcontractor Managers/Supervisors.

NAID — National Association for Information Destruction, Inc.

National Archives and Records Administration (NARA) — An independent government agency responsible for establishing policies and procedures for managing the records of the federal government. NARA exercises final authority for approving the disposition of government records.

Non-record Material — U.S. Government-owned documentary materials excluded from the legal definition of records, either by failing to meet the general conditions of record status already described, or by falling under



one of three specific categories: Extra copies of documents preserved only for convenience of reference, stocks of publications and of processed documents or library or museum material made or acquired and preserved solely for reference or exhibition purposes.

OCR — Optical Character Recognition

Official Use Only (OUO) — Certain unclassified information that may be exempt from release under the FOIA. Detailed identification and protection requirements are contained in DOE O 471.3, Admin Chg. 1, *Identifying and Protecting Official Use Only Information*, and DOE M 471.3-1, Admin Chg. 1, *Manual for Identifying and Protecting Official Use Only Information*.

PDF — Portable Document Format

PMA — Portsmouth Mission Alliance, LLC

Records – H.R. 1233, Presidential and Federal Records Act Amendments of 2014, became law November 26, 2014. It was codified as Public Law (P.L.) 113-187 on November 26, 2014. One of the more significant points include a revised “records” definition covering all recorded information, which is further defined as “all traditional forms of records, regardless of physical form or characteristics, including information created, manipulated, communicated, or stored in digital or electronic form”. It also now provides that the Archivist of the United States’ determination of whether recorded information is a record is now binding on all Federal agencies. Also, it clarifies the prohibition of creating or sending a record using a non-official electronic messaging account unless the message is originally copied to or forwarded to an official electronic messaging account, with the latter setting a 20-day deadline. It should be noted that electronic messaging tools are not limited to just e-mail. To encourage and promote the seriousness and the need for compliance, the law provides for disciplinary action for intentional violations. It remains to be seen how DOE and other Federal agencies working with human capital and legal counsel organizations may elect to implement such disciplinary action.

Records Control Schedule— Provides mandatory instructions for the disposition of records (including the transfer of permanent records and disposal of temporary records).

Record Series — A group of related files kept together as a unit because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have a relationship arising from their creation, receipt, or use.

RMDC — Records Management and Document Control

RMFO — Records Management Field Officer

SF — Standard Form

Temporary Records — Records approved by NARA for destruction, either immediately or after a specified retention period.

Unauthorized Disposal — The improper removal of records from agency custody or the willful or unlawful destruction of records without regard to a NARA approved records schedule (see 18 U.S.C., Chapter 101, Section 2071 for penalties).

Unclassified Controlled Nuclear Information (UCNI) — Certain unclassified but sensitive information concerning nuclear material, weapons, and components the distribution of which is controlled under Section 148 of the *Atomic Energy Act*. Detailed information and protection requirements are contained in DOE O 471.1B, *Identification and Protection of Unclassified Controlled Nuclear Information*.

U.S.C. — United States Code

Destruction Certificate Number

Please complete a separate form for each records series eligible for destruction.

FROM: <i>(Enter the name of the originating company/department)</i> <input type="text"/>	TO: <i>(Enter the name of the receiving records coordinator.)</i> <input type="text"/> PMA Records Management and Document Control Center
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The records identified below have reached their retention period and are eligible for destruction. Your signature certifies that these records no longer possess sufficient administrative, legal, historical, or fiscal value to warrant further retention and can be destroyed. If the records cannot be destroyed due to special circumstances (e.g., litigation, claims, DOE destruction moratoria), and a temporary extension of the retention period is required, please provide the reason for the extension, to include a future review date (up to 1 year is permitted), in the space provided below. Authority: 36 CFR §1228.54 and §1228.58.

DISPOSITION AUTHORITY: <i>(Enter the applicable DOE records schedule and item number.)</i> <input type="text"/>	RECORDS SCHEDULE TITLE: <input type="text"/>
SERIES DISPOSITION TITLE: <input type="text"/>	
SERIES DESCRIPTION: <i>(Enter the applicable DOE records schedule series description.)</i> <input type="text"/>	
RETENTION PERIOD: <i>(Enter disposition instructions, as shown in the applicable DOE records schedule disposition authority.)</i> <input type="text"/>	

ACCESSION NUMBER FROM NARA STANDARD FORM SF-135: <i>(Applicable only if stored at a federal records center.)</i> <input type="text"/>	TOTAL VOLUME: <i>(Enter amount destroyed, in cubic feet.)</i> <input type="text"/>
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ATTACHMENT A
Completed Destruction Package for Records Located Externally (Example)
PMA EQ RM FOR 1436
Page 3 of 6

Destruction Certificate Number [REDACTED]

BOX # OR FILE CODE: <i>(Enter internal box # or file code.)</i>	DESCRIPTION OF BOXES/FILES TO BE DESTROYED: <i>(Enter a description of the physical type (if other than paper) and informational content of the records included in the series.)</i>	INCLUSIVE DATES: <i>(Enter the period covered by the records.)</i>		ELIGIBLE FOR DESTRUCTION DATE:
		From	To	Month/Year
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

<input type="checkbox"/> Approved	Functional Area Manager/ Date
<input type="checkbox"/> Approved	Records Management Manager/ Date
<input type="checkbox"/> Approved	Business Manager/ Date
<input type="checkbox"/> Approved	DOE Legal/ Date

Reason for temporary extension of the retention period: [REDACTED]

Destruction Certificate
I hereby certify the above records have been destroyed:
Method of destruction: [REDACTED]
Date records destroyed: [REDACTED]
Signature: [REDACTED]
Records Management and Document Control use only
<input type="checkbox"/> SF-135 annotated to show the records have been destroyed or the retention period has been extended. (See attached SF 135.)



ATTACHMENT A
Completed Destruction Package for Records Located Externally (Example)
Standard Form 135
Page 4 of 6

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE 1 OF 2

1. TO (Complete the address for the records center serving your area as shown in 38 CFR 1228.150)
Federal Records Center
3150 Springboro Road
Dayton, OH 45439-1883
2. AGENCY TRANSFER AUTHORIZATION
TRANSFERRING AGENCY OFFICIAL (Signature and title)
Records Manager
DATE 8-7-05
3. AGENCY CONTACT
TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone no.)
Anne Wickham, Records Manager
(513) 246-0463
4. RECORDS CENTER RECEIPT
RECORDS RECEIVED BY (Signature and title)
DATE 8/24/08

5. FROM (Enter the name and complete mailing address of the office routing the records. The signed receipt of this form will be sent to this address)
Anne Wickham
U.S. Department of Energy
Ohio Field Office
175 Tri-County Parkway
Springdale, OH 45246
Alternate Point of Contact:
Department of Energy
Chief Information Officer
Records Management Office
(301) 903-3666

6. RECORDS DATA
Table with columns: ACCESSION NUMBER (RG, FY, NUMBER), VOLUME (cu. ft.), AGENCY BOX NUMBERS, SERIES DESCRIPTION (Agency Charge Code: OH, Ohio Field Office, Office Acquisition & Asset Mgt Bankcard Statements, Small Purchases and Supporting Documentation (FY 2002-2005) <\$2000, CLOSING DATE: 3/31/2005), DISPOSAL AUTHORITY (ADM 3.3.a.(1)(b)), DISPOSAL DATE (4/1/2008), COMPLETED BY RECORDS CENTER (LOCATION: 30-11-14-3-4, SHELF PLAN: B, CONT. TYPE: A, AUTO. DISP.:

Sample 1050507

ATTACHMENT A
Completed Destruction Package for Records Located Externally (Example)

Attached Listing from PMA EQ RM FOR 1436

Page 5 of 6

FRC BOX #	UNIQUE ID #	CONTENTS	DATES
1 OF 1	OH 479	Bank Card Statements, Small Purchases and Supporting Documentation for AAM, Compliance, Fernald and Miamisburg Office Chief Financial Officer, Bank of America statements Office Chief Financial Officer, Bank of America statements	10/1/2002-3/31/2005 4/1999-5/1999 9/27/02 - 7/27/2003

EXAMPLE



ATTACHMENT A
Completed Destruction Package for Records Located Externally (Example)
NARA FORM 13001
Page 6 of 6

NOTICE OF ELIGIBILITY FOR DISPOSAL
DATE OF NOTICE: 01 01 08
DISPOSAL DATE: 200804
RECORDS DESCRIPTION:
ACCESSION NUMBER: 434-05-3033
SUBGROUP: CIN
DISPOSAL AUTHORITY: DOE/ADM/3/3A1B
VOLUME: 1.000
SERIES DESCRIPTION: OH PROCUREMENT UNDER \$2k
LOCATION: 30-11-14-3-4 30-11-14-3-4
NARA GREAT LAKES REGION (DAYTON)
3150 SPRINGBORO ROAD
DAYTON, OH 45439
SIGNATURE: Kathy Beard
DATE: 2/5/08

EXAMINED

	PMA EQ RM PRO 1406	Rev. No. 2 9/13/16	Records Transfer	Page 1 of 17
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Document Type:		Procedure		Effective Date: 9/13/16	
Periodic Review:		Frequency: Procedures		Due Date 9/13/2019	
Document Ownership (Name):					
Department:	Function:	Owner:	Technical Specialist:	Performance Document Specialist:	
ESH&Q	RM - Records Management	Alicia Coulson	Betty Mcadow	Eric Anderson	
Approved By: Alicia Coulson			Date 9/13/2016		
Document Review and Authorization:					
Authorization Authenticated By E-Mail (On File)					
<i>Note: Blank space indicates pending; contact reviewer/owner for direction when applicable</i>					
Determination					
YES	NO	Explanation			
ESH&Q - Safety (i.e., ISMS, Other)					
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Additional safety documentation applicable and on file <i>(If Yes, contact ESH&Q, as needed)</i>		Dan Longpre	4/25/2016
Security - Classification and Export Controlled Information (ECI)					
Classification					
<input type="checkbox"/>	<input type="checkbox"/>	Approved for public release		Choose and item	Click here to enter a date
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Approved for release to DOE/DOE Contractor Only			
<input type="checkbox"/>	<input type="checkbox"/>	OUO <i>(If Yes Contact Owner for access)</i>			
Export Controlled Information (ECI)					
<input type="checkbox"/>	<input type="checkbox"/>	Document Contains ECI <i>(If Yes, Contact Owner for access)</i>		<i>Choose an item.</i>	Click here to enter a date
Quality/Owner - Quality Record					
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Generates a quality record		Eric Anderson	4/25/2016
<i>A QA record is a completed document that furnishes evidence of the quality of items and/or activities affecting quality. Only records generated from work activities important to nuclear safety will be maintained as NQA-1 QA Records.</i>					
<i>Records generated or received in the use of performance documents must be submitted to PMA Records Management Document Control for record retention and disposition according to Records Life Cycle and Retrieval. For detailed instruction on receipt and transfer of records to RMDC see PMA EQ RM PRO 1405, Record Transfer. PMA employees and contractors must not conceal or destroy any information, including non-compliance or potential non-compliance records. (Reference 18U.S.C. 2071, "Unauthorized Removal and/or Destruction of Records.")</i>					
<i>This document is currently awaiting Security classification and ECI review, and is currently authorized for release to DOE/DOE Contractor ONLY. This document must be encrypted if electronically sent to DOE/DOE Contractor outside the PMA network firewall. Release other than DOE/DOE Contractor ONLY must be approved by Security prior to release.</i>					

REVISION LOG		
Revision Number	Description of Changes	Pages Affected
1	Initial release.	All

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**PURPOSE**

The purpose of the Record Transfer procedure is to provide a mechanism for the Records Management and Document Control (RMDC) to accept active and inactive records for storage and disposition.

Classified documents are handled in accordance with PMA SS CL MAN 2056, *Classified Matter Protection and Control Program Manual for the Portsmouth Gaseous Diffusion Plant*.

SCOPE

This procedure applies to all organizations that create, process, distribute, use, control, or manage records in all formats (paper, electronic- including all media types) for the U. S. Department of Energy (DOE) Environmental Management (EM) Program at the Portsmouth Gaseous Diffusion Plant (PORTS). Portsmouth Mission Alliance, LLC (PMA) EM records include all records generated, received, or sponsored by or for PMA in support of the Infrastructure Support Services (ISS) contract.

OTHER DOCUMENTS NEEDED

- PMA EQ RM PRO 1401, *Record Life Cycle and Retrieval*
- PMA EQ RM PRO 1402, *Maintaining Privacy Act Records*
- PMA SS CL MAN 2056, *Classified Matter Protection and Control Program Manual for the Portsmouth Gaseous Diffusion Plant*
- PMA SS CL PRO 2000, *Handling and Control of Classified Matter*
- PMA EQ RM FOR 1450, *Records Transmittal (form)*
- PMA EQ RM FOR 1447, SF-135, *NARA Record Transmittal and Receipt (NARA form)*

WHAT TO DO**A. Transferring Records to RMDC**

NOTE(s): PMA RMDC is the DOE contractor for records management of PORTS EM Program contractor records. RMDC provides services for other DOE EM Program organizations that create, process, distribute, use, control, or manage records. RMDC is the PORTS EM contractor focal point for document storage, including for subcontractors.

When records are no longer being accessed frequently by the department or contractor, they should be transferred to RMDC.

RMDC prefers to receive electronic copies rather than paper. The preferred electronic format is the native application (e.g., Word, Excel). If not available, a preferred file format is used: Portable document format (PDF), Tagged Image File Format (TIFF), Joint Photographic Experts Group Jpeg2000 (JP2)], Portable Network graphics (PNG), or for permanent records—Portable Document Format/ Archival (PDF/A).

Electronic temporary records require a minimum resolution of 300 Pixels Per Inch (PPI) and permanent records require a minimum resolution of 400 PPI. All electronic records are required to meet National Archives and Records Administration (NARA) guidelines for resolution and format to ensure records are preserved for retention. See RMDC for guidance on media type requirements.

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Originator

1. If RMDC is listed in the document's distribution, **then** provide the record in any format—paper, electronic, and all media types—to RMDC.

NOTE: For Electronic Records e-mail the electronic copy to RMDCISS@PMA-ISS.com and put "Record Submission" in the subject line. E-mail records must meet NARA requirements for transfer; please contact RMDC for guidance.

2. **If the records being transferred are not in electronic format** complete PMA EQ RM FOR 1450, *Records Transmittal*. Include on the transmittal any specific information or keywords that would assist in future retrieval of the records being transferred.
3. A Records Transmittal form will need completed for each box of records or each group of electronic records that are the same record type. In addition to the Records Transmittal form, when preparing to transfer boxed records, create an index of the records contained within each box.
4. Ensure all revisions to a record have received the same level of classification review and approval as the original.
5. Verify box contents to index. Mark index for each document verified, sign name and date on bottom of index. Place the verified index in the box.
6. When preparing boxes for transfer to RMDC, **do not apply tape to any portion of the boxes**. Include approved transmittal form (in one box in the batch—usually the first box), box records according to disposition. Request guidance from RMDC on packaging, indexing, and transferring inactive records in any format—paper, electronic, and all media types—and ensure only record copy (RC) material is transferred to RMDC.
7. Prior to Records transfer submit the transmittal form and electronic indexes to RMDC at RMDCISS@PMA-ISS.com to obtain a transmittal number. Place "Record Submission" in the subject line.

NOTE: A *UE-5 Request for Release of Equipment/Material from DOE Control* must be completed and provided to RMDC prior to record transfer. History of use for records must be identified. Documents identified as radioactively contaminated shall be controlled; provide evidence of classification/review and radiological surveys with all records submitted to RMDC. This form is currently available from Fluor—BWXT, Portsmouth.

8. When transmittal is approved, send e-mail to Work Control to coordinate record(s) transfer and e-mail copy of work request to RMDC at RMDCISS@PMA-ISS.com.

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RMDC Staff

9. For electronic records organize a folder for transfer of each record type category for the RC holder on the applicable drive.
10. Provide transfer guidance for submission of electronic records to the applicable drive.
11. After review/approval of transmittal/index, provide transmittal number and disposition by e-mail to RC holder.
12. If errors are discovered during transmittal/index review, return the transmittal/index to the originator with explanation of corrections needed.
13. Once transmittal/index is approved receive records and process according to appropriate RMDC records work instructions.
14. Identify business sensitive records according to applicable operating instructions, internal procedures, and best management practices, and mark accordingly.
15. Mark Privacy Act records according to PMA EQ RM PRO 1402, *Maintaining Privacy Act Records*. Mark unclassified sensitive records according to PMA SS CL MAN 2056, *Classified Matter Protection and Control Program Manual for the Portsmouth Gaseous Diffusion Plant*, and PMA SS CL PRO 2000, *Handling and Control of Classified Matter*.
16. Update record inventory in RMDC Tracker and Intake Log to reflect the change in inventory.

B. Transferring Records for Storage to Federal Record Center (FRC)

NOTE: NARA is authorized to establish, maintain, and operate record centers for federal agencies under 44 United States Code (U.S.C.) 2907 and to approve a records center that is maintained and operated by an agency under 44 U.S.C. 3103. Agencies must submit Standard Form (SF) - 135, *Records Transmittal and Receipt*, as their transmittal form.

FRC requires agencies to use specific types of materials for preparing records transfers. DOE-specific transfer guidelines are determined and approved by the records management field officer (RMFO).

Record transfers are submitted to the Federal Records Center (FRC) by submission of DOE approved SF135, which serves to acknowledge receipt of the records by the FRC.

One SF135 is used for each transfer of one series type to FRC.

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RMDC Manager

1. Identify boxes to prepare for shipment to FRC.

RMDC Manager
and RMDC Staff

2. Initiate/ obtain radiological survey and classification review (if not previously performed) for record boxes to be shipped to FRC.
3. Obtain and complete (for the steps below) Attachment C, *RMDC Checklist for FRC Shipments*.
4. If records are classified, prepare a document receipt.

NOTE: Classified documents are handled according to PMA SS CL MAN 2056, *Classified Matter Protection and Control Program Manual for the Portsmouth Gaseous Diffusion Plant*.

5. Create box index by document/folder level for each box, identifying date range, document reference number (if applicable), and description.
6. Prepare SF135, *Records Transmittal* (refer to Attachment A for items to be completed by federal agencies on SF135).
7. Re-box and prepare boxes according to Attachment D.
8. Submit completed SF135 and box index to RMDC manager for approval.
9. Submit completed SF135 and box index to RMFO for approval.
10. If SF135 is approved by RMFO, **then** ensure e-mail approval is printed and kept with the SF135.
11. Submit SF135 to FRC by e-mail to obtain approval to ship and accession number.
12. Once accession number is obtained from FRC and SF 135 is returned by e-mail, identify accession numbers on the boxes according to Attachment D.
13. Contact PMA Shipping/Receiving and appropriate Work Control group to coordinate shipment.
14. Once shipment is sent, "OCR" (optical character recognition) the documentation and process SF-135, Attachment C, box index, classification review, and radiological surveys with all documentation in Documentum according to internal work instructions.
15. Update record inventory in RMDC Tracker and Intake Log to reflect the change in inventory.
16. Update Documentum records and data field's accession number and location to indicate location of records, accession number, and box

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number from FRC; see RMDC manager for guidance.

RECORDS

Records generated or received must be submitted to PMA RMDC for records retention and disposition according to PMA EQ RM PRO 1401, *Record Life Cycle and Retrieval*. PMA employees and contractors must not conceal or destroy any federal records, including non-compliance or potential non-compliance records. (Reference: 18 U.S.C 2071, *Concealment, removal or mutilation generally*.)

SOURCE DOCUMENTS

- 10 CFR 851, *Worker Safety and Health Program*
- 36 CFR Chapter XII – Subchapter B, *Records Management*
- DOE O 243.1B, *Records Management Program*
- PMA EQ QM PLA 0077 (PMA/PORTS-77), *Quality Assurance Program Plan for the Facility Support Services Contract at the Portsmouth Gaseous Diffusion Plant, Piketon, Ohio*
- Title 36, Code of Federal Regulations (CFR), Chapter XII, *National Archives and Records*
- Title 41, CFR, Chapter 102, Parts 102–193, *Federal Management Regulations*

DEFINITIONS/ ACRONYMS

Active Records— Records for which a meaningful day to day business function has not ceased, the records are actively used to conduct business which must be retained according to the Records Inventory and Disposition Schedule.

CFR — Code of Federal Regulations

Controlled Documents — Any record for which revision, distribution, and status are to be kept current by the generator/issuer to ensure that authorized users/holders have available the most up-to-date version.

DOE — U.S. Department of Energy

EM — Environmental Management

FRC—Federal Record Center

Inactive Records — Records for which a meaningful day-to-day business function has ceased to exist but which must be retained according to the Records Inventory and Disposition Schedule.

ISS — Infrastructure Support Services

NARA—National Archive and Records Administration — NARA is authorized to establish, maintain and operate records centers for Federal agencies under 44 United States Code (U.S.C.) 2907 and to approve a record center

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that is maintained and operated by an agency under 44 U.S.C. 3103. Agencies must submit SF-135, Records Transmittal and Receipt as their transmittal form. FRC requires agencies to use specific types of materials for preparing records transfers.

OCR— Optical Character Recognition

PDF — Portable Document Format

PMA - Portsmouth Mission Alliance, LLC

PORTS — Portsmouth Gaseous Diffusion Plant

PPI — Pixels per inch

Record Copy (RC) — The official copy of a record that is retained for legal, operational, or historical purposes.

Record Copy Holder — The individual or organization identified to manage the record according to approved records management procedures.

Records —H.R. 1233, Presidential and Federal Records Act Amendments of 2014, became law November 26, 2014. It was codified as Public Law (P.L.) 113-187 on November 26, 2014. One of the more significant points include a revised “records” definition covering all recorded information, which is further defined as “all traditional forms of records, regardless of physical form or characteristics, including information created, manipulated, communicated, or stored in digital or electronic form”. It also now provides that the Archivist of the United States’ determination of whether recorded information is a record is now binding on all Federal agencies. Also, it clarifies the prohibition of creating or sending a record using a non-official electronic messaging account unless the message is originally copied to or forwarded to an official electronic messaging account, with the latter setting a 20-day deadline. It should be noted that electronic messaging tools are not limited to just e-mail. To encourage and promote the seriousness and the need for compliance, the law provides for disciplinary action for intentional violations. It remains to be seen how DOE and other Federal agencies working with human capital and legal counsel organizations may elect to implement such disciplinary action.

RMDC — Records Management and Document Control

RMFO — Records Management Field Officer (DOE)

SF — Standard Form

U.S.C. — United States Code

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ATTACHMENT A
Items on SF-135 to be completed
Page 1 of 3

Items to be completed by Federal agencies:

- ◆ **Item 1**—Complete the address for the records center serving your area. (www.archives.gov/locations).
 - ◆ **Item 2**—Original signatures, if required by your agency, should be included on a copy of the SF-135 placed in the first box of the shipment. Agencies may provide NARA with a list of authorized users who will serve as points of contact for records management.
 - ◆ **Item 3**—Provide the name and office telephone number, including area code, of the person to contact concerning the records (this should be the person who is making/managing the transfer). An e-mail address is also required so that the approved SF-315 can be returned by e-mail.
 - ◆ **Item 5**—Provide the complete mailing address for the office retiring the records.
NOTE: It is mandatory that you keep this address up-to-date with the FRC, as all notifications concerning the records will go to the address on the SF-135.
 - ◆ **Items 6 (a) and (b)**—Indicate (a) the NARA record group number assigned to the records of the agency making the transfer and (b) the last two digits of the current fiscal year (i.e., the FY in which you're transferring the records.)
 - ◆ **Item 6(c)**—In most centers, regional staff assigns a sequential number in this column. At the Washington National Records Center (WNRC), Agency Records Officers typically control and assign transfer numbers, except for some military agencies.
 - ◆ **Item 6(d)**—For transfer and billing purposes, a standard-size box equals 1 cubic foot.
 - ◆ **Item 6(e)**—The agency box numbers column can be used to indicate the inclusive range for numbers (e.g., 1-30).
 - ◆ **Item 6(f)**—The series description should describe the records in sufficient detail to allow records center personnel to verify compliance with our records schedules. A complete series description includes the closing date (or inclusive dates) of the records. Include the organizational component that created the records, if it is other than that shown in Item 5. Item 6(f) should include a detailed box-by-box listing, if the records are scheduled for permanent retention, unscheduled, or if disposition instructions indicate that sampling to screening of records is necessary. You must indicate whether the series of records is subject to the Privacy Act. Since SF-135s are public records, information included on SF-135s should not be subject to the Privacy Act.
- Stratified report invoicing—For agencies participation in stratified report invoicing, a caret (^) followed by a valid two-digit charge code must be placed at the beginning for the series descriptions.
 - Special description requirements—These apply for certain records and should be stated in Item 6(f).
 - Site audit record—State “GAO Site Audit” if the records have been so designated by the Government Accountability Office (GAO), and indicate whether the site audit records do or do not pertain to Native Americans.
 - Non-paper-based records—These are records in other media or in different formats than standard paper documents, such as microfilm engineering drawings, etc.

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ATTACHMENT A
Items on SF-135 to be completed
Page 2 of 3

- ◆ **Item 6(g):** Restrictions—Complete this section using one of the following codes:

Q—Security classification

T—Top Secret security classification

S—Secret security classification

C—Confidential security classification

R—Restricted use [witnessed disposal not required; specify in column (f)]

W—Restricted [witnessed disposal required; specify in column (f)]. Code W should also be used for unclassified Privacy Act system records. Explain any special restrictions at the bottom of the page, if needed.

N—No restrictions.

E—Restricted Data (RD) or Formerly Restricted Data (FRD) records. This code must be shown as well as the appropriate classification (Top Secret, Secret, or Confidential) set forth in Executive Order (EO) 12356. These restriction codes apply to document pertaining to national security information rather than information of a proprietary nature.

A—Records that are not national security – classified but for which vault-type storage is being requested by the agency, with an additional storage fee.

- ◆ **Item 6(h)**—Cite the appropriate schedule identifier and item number in your agency records schedules, job number, or the General Records Schedules (GRS).

Consistent with 36 CFR 1228.154(c)(vii), NARA Federal Records Center facilities can accept unscheduled record series that have an SF-115, Request for Records Disposition Authority, logged and pending with NARA’s Lifecycle Management Division or if the agency has notified NARA of the proposed transfer.

- If an SF-115 has been submitted, enter “Pending” in block 6(h) on the SF-135; cite the schedule, the item number, and the date it was submitted to NARA; and include a copy of the schedule.
- If no SF-115 has been submitted, enter the date NARA was notified.
- Also attach a copy of the pending job with the SF-135.

- ◆ **Item 6(i)**—Follow the instructions on your records schedules to compute the disposition date. Because disposal is accomplished in quarterly cycles (i.e., January, April, July, and October), advance the date to the beginning of the next calendar quarter to obtain the actual date of disposal. Permanent records are offered to NARA on an annual basis, so no month is shown in the disposition date field. Place “P” after the offer year.

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ATTACHMENT A
Items on SF-135 to be completed
Page 3 of 3

After an agency has completed its portion of the SF-135, prior to shipping any boxes to the FRC, the agency must send the SF-135 to the FRC for approval—boxes cannot be transferred to an FRC until the FRC approves the SF-135.

If the FRC approves the transfer, it completes the following fields of the SF-135 and returns the SF-135 to the agency.

Items to be completed by the FRC:

- ◆ **Item 4**—Records Center Receipt
- ◆ **Item 6(j)**—Location
- ◆ **Item 6(k)**—Shelf Plan
- ◆ **Item 6(l)**—Container Type
- ◆ **Item 6(m)**—Automatic Disposal

Only after the agency receives the approved SF-135 from the FRC, which contains the transfer number needed for the box label, can they transfer the records to the FRC.

ATTACHMENT B
Sample of SF-135, Records Transmittal and Receipt (NARA form)

RECORDS TRANSMITTAL AND RECEIPT		Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.			PAGE 1	OF PAGES				
<p>1 TO <small>(Complete the address for the records center serving your area as shown in 36 CFR 1228.150)</small></p> <p style="text-align: center;">Federal Records Center</p> <p>SAMPLE</p>	<p>5 FROM <small>(Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)</small></p> <p>SAMPLE</p>									
2. AGENCY TRANSFER AUTHORIZATION	TRANSFERRING AGENCY OFFICIAL <small>(Signature and title)</small>		DATE							
3. AGENCY CONTACT	TRANSFERRING AGENCY LIAISON OFFICIAL <small>(Name, office and telephone No.)</small>									
4. RECORDS CENTER RECEIPT	RECORDS RECEIVED BY <small>(Signature and title)</small>		DATE							
Fold Line										
RECORDS DATA										
ACCESSION NUMBER		AGENCY BOX NUMBERS	SERIES DESCRIPTION <small>(With inclusive dates of records)</small>	RESTRICTION	DISPOSAL AUTHORITY <small>(Schedule and item number)</small>	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG <small>(#)</small>	FY NUMBER <small>(#)</small>						VOLUME <small>(v. n)</small>	LOCATION	SHELF PLAN <small>(#)</small>	CONTAINER <small>(#)</small>
			SAMPLE							
Sample										
NSN 7540-00-834-4093		135-107		Standard Form 135 (Rev. 7-85) Prescribed by NARA 36 CFR 1228.152						



ATTACHMENT C

RMDC Checklist for FRC Shipments
Page 1 of 1

Accession Number _____

- ___ 1. Identify and organize alike record collections using PMA/DOE records retention schedule as needed.
- ___ 2. Obtain Radiological Survey of records (if applicable) using a Q-cleared Tech if classification is unknown.
- ___ 3. Obtain a Derivative Classifier (DC) (classification) review of records (if applicable).
- ___ 4. If box index is received, verify box contents to the index and complete bottom of index by completing name and date.
- ___ 5. If box index is not provided, index records at the folder level using RMDC work instructions. If records are classified **hand write** index until index is reviewed by DC.
- ___ 6. Once index is complete if records are classified obtain a DC (classification) review of **handwritten** index to ensure there are no classified titles prior to entering the index on a networked computer.
- ___ 7. If record titles are unclassified enter and quality check index information into the computer and save on PMA RMDC shared drive (R drive) in designated folder.
- ___ 8. Complete SF-135 and send with indexes to RMDC manager for approval.
- ___ 9. After approval by PMA RMDC manager forward SF-135 with indexes to RMFO for approval.
- ___ 10. After approval by RMFO forward SF-135 with indexes (if required) to FRC to obtain accession numbers and permission to ship.
- ___ 11. Enter index data retrieved from PMA R drive along with approved SF-135 copy into designated Documentum folder.
- ___ 12. Re-box records (if needed) according to NARA guidelines; include SF-135 and indexes. (**See Attachment D**)
- ___ 13. Label boxes according to NARA guidelines. (**See Attachment D**)
- ___ 14. Stack boxes on pallets according to NARA guidelines. (**See PMA EQ RM PRO 1412, Storage and Inspection of Stored Records, Attachment C**)
- ___ 15. Shrink wrap pallet and label accordingly. If shipment is **Classified**, wrap and label pallet according to PMA Security requirements and guidelines:

PMA SS CL MAN 2056, *Classified Matter Protection and Control Program Manual* – 4.5.7 Shipping Classified Matter
Classified matter shall be shipped only through authorized package delivery systems and only to certified delivery areas. When classified matter is shipped outside PMA Facilities, only authorized means of shipment through DOE-approved shipping channels shall be used. Custodians with a shipping requirement shall contact PMA Security for assistance.

Signature_____
Date

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ATTACHMENT D
NARA Shipment Instructions — Example
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1. Please mark each box with a **wide felt tip marker** as illustrated on the reverse side of this letter before shipping to the FRC. **Include the returned copy of the SF 135 and a detailed folder list of each box in box #1 of the accession. Additionally, each box should contain that particular box index.**
2. When tape is used to seal the boxes, do not write any accession/box/location numbers on the tape or obscure these numbers with the tape. If boxes are being shipped less than 50 miles by government carrier, box tops may be interleaved instead of taped.
3. **Please remember to use the standard box for retiring records.**

NSN 8115-00-117-8249 14-3/4" x 12" x 9-1/2"

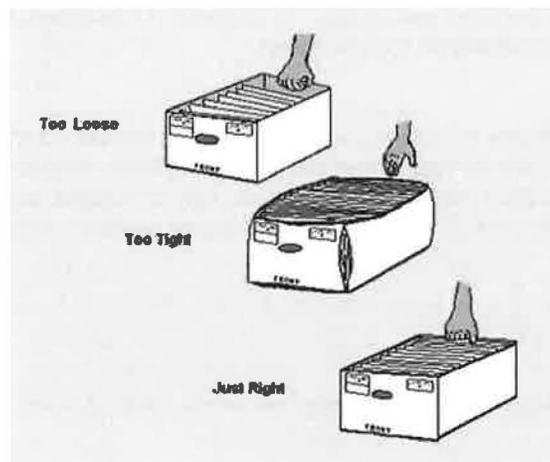
4. **Boxes must be shipped within 90 days** (120 days for overseas shipments) from the date the SF 135 was approved. Outstanding accessions not received within the time frame may be cancelled, and the SF135 will be returned to the agency. When shipping records, please make sure the boxes are kept in agency number order. Trucks should be loaded in reverse order so the highest agency box number will come off the truck first.

Typically you should be shipping within 30 days of approval.

5. **Shipments of 100 or more boxes must be scheduled in advance** with the FRC.

Packing the Boxes

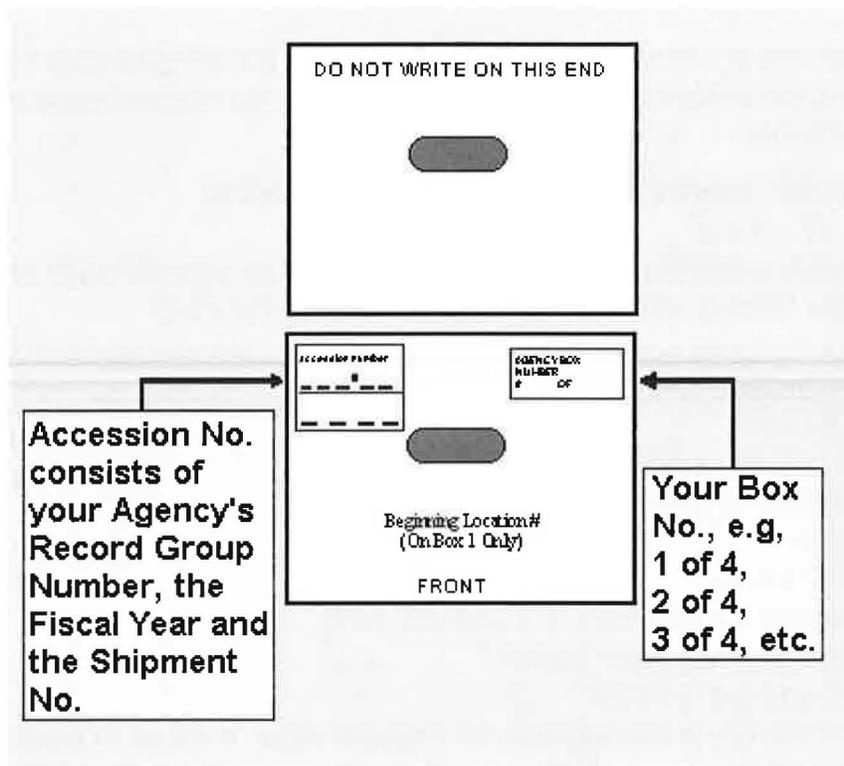
(Keep enough space in the box so you can easily put your hand in to pull out a file.)



ATTACHMENT D
NARA Shipment Instructions — Example
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Marking the Boxes

(Use a wide tip black marker and write the numbers at least an inch high.)



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ATTACHMENT E
NARA Shipment Instructions
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Required Materials for Transferring Records to a Federal Records Center

FRC requires agencies to use specific types of materials for preparing records transfers. The supplies and forms are available in the current General Services Administration (GSA) Supply Catalog as shown below:

- ◆ **Standard size record box for legal or letter-size files $\frac{3}{4}$:**
14-1/2" x 12" x 9-1/2"
NOTE: Boxes exceeding these dimensions will not fit on records center shelving.
GSA Supply Catalog NSN/Mfr. Part #: NSN 8115-00-117-8249

- ◆ **Special purpose boxes:**
 - Half-size box:
14-3/4" x 9-1/2" x 4-3/4"
GSA Supply Catalog NSN: 8115-00-117-8338
 - X-ray box:
18" x 15" x 5-1/2"
GSA Supply Catalog NSN: 8115-00-290-3386
 - Magnetic tape box (Lock Bottom):
14-3/4" x 11-3/4" x 11-3/4"
NOTE: This box is intended only for magnetic tape. It will not fit on standard records center shelves.
GSA Supply Catalog NSN: 8115-00-117-8347

- ◆ **Other materials:**
 - Tape (recommended)
GSA Supply Catalog NSN: 7510-00-073-6094 (The clear tape does not obscure numbers)
 - Tape (tan-3")
GSA Supply Catalog NSN: 7510-00-079-7905
 - Standard Form 135
GSA Supply Catalog NSN: 75400-00-634-4093
 - Felt-tip marker
GSA Supply Catalog NSN: 75200-00-973-1059
 - Optional Form 11
GSA Supply Catalog NSN: 75400-00-682-6423

ATTACHMENT F
Form Records Transmittal — Sample
See PMA EQ RM FOR 1450 Records Transmittal

Instructions: To ensure inclusion in the correct project file, this form must be attached to all materials being transferred to the RMDC. Please complete all applicable fields in each section of this form; for all non-applicable fields, use "N/A."

Part 1 (To Be Completed By Submitter)			
Submitted By: <input type="text"/>		Date Delivered: <input type="text"/>	Phone: <input type="text"/>
Author / Organization: <input type="text"/>			
Document Title: <input type="text"/>		Date Range of Records: <input type="text"/>	
Document Number: <input type="text"/>		Electronic	
<input type="checkbox"/> Active Record <input type="checkbox"/> Inactive Record		# Of Documents: <input type="text"/>	# Of Pages: <input type="text"/>
		Paper	
		# Of Boxes OR # Of Documents: <input type="text"/>	
Facility Name: <input type="text"/>		Facility Number: <input type="text"/>	
<input type="checkbox"/> Attach UE-5 Release from material control form and/or completed radiological surveys to validate record history of use/origination.			
Record requirements: (Contact RMDC for guidance) Electronic: PDF format preferred. <input type="checkbox"/> Resolution requirements: 300 pixels per inch (ppi)-Temporary records, 400 ppi-Permanent records <input type="checkbox"/> Permanent records must be PDF/A format. <input type="checkbox"/> Optical character recognition (OCR) process is performed. <input type="checkbox"/> No encryption or passwords <input type="checkbox"/> Digital photographs: minimum resolution of 3,000 pixels across the long dimension; uncompressed, lossless compression, captioned as required. Digital photographs <u>must be provided with index</u> that includes Photo #, date taken, and descriptive information for retrieval as required.			
<input type="checkbox"/> Vital Records <input type="checkbox"/> Business Sensitive <input type="checkbox"/> Privacy Act Information			
Reviewed By Classification Review Officer: <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A Please provide proof of classification reviews.			
Quality Assurance (QA) Record: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> NQA-1 (2004) QA Record – Lifetime <input type="checkbox"/> NQA-1 (2004) QA Record – Non Permanent			
Note: A QA record is a completed document that furnishes evidence of the quality of items and/or activities affecting quality.			
Key Words: <input type="text"/>			
Part II (To Be Completed By RMDC Staff)			
Checked In By: <input type="text"/>		Shelf Location: <input type="text"/>	Disposition: <input type="text"/>
Comments: <input type="text"/>			

The records listed are transmitted to RMDC as accurate and complete for inclusion as the official record.

Signature: Date: