



ADMINISTRATIVE  
COMMUNICATIONS SYSTEM  
U.S. DEPARTMENT OF EDUCATION

**DEPARTMENTAL DIRECTIVE**

**OM:6-103**

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Distribution:  
All Department of Education employees

Approved by: \_\_\_\_\_/s/  
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**Records and Information Management Program**

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Supersedes OCIO:1-103 “Records and Information Management Program”, dated 08/08/2005.

**I. Purpose**

This directive establishes the overall policies and procedures to be followed by the U.S. Department of Education's (Department) Principal Offices (POs) in complying with the requirements of the *Federal Records Act of 1950 as codified in 44 U.S.C. Chapters 29, 31, and 33, and the National Archives and Records Administration (NARA) implementing regulations contained in 36 CFR 1220 through 1238* for establishing and maintaining a records management program in their administrative and mission-related activities.

This directive also authorizes the issuance of the Department's Records and Information Management Manual (Records Manual), which includes policy guidance for specific categories of records and records management activities. However, this directive does not address all information resources management requirements affecting records management. Therefore, this directive should be considered in context with other Department Information Resource Management (IRM) policies (<http://connected.ed.gov/index.cfm?navid=4>).

The specific objectives of the records management program are:

- A. To set forth requirements and responsibilities for implementing and maintaining an efficient and effective records management program throughout the Department.
- B. To provide support for the Department's mission of promoting educational excellence for all Americans through:
  - 1. awareness that records management is the responsibility of every Department employee and contractor;
  - 2. adequate and proper documentation of Department activities, organization, functions, policies, decisions, procedures, and essential transactions;
  - 3. appropriate maintenance and use of Department records; and
  - 4. proper records disposition.
- C. To comply with the Federal Records Act and regulations as listed in the Authorization section.
- D. To preserve historical information, thereby enabling Department employees, Department contractors, and their successors to retrieve information needed to make informed decisions.

## II. Policy

It is the policy of the Department to create, preserve, maintain, use, and dispose of Federal records in compliance with the requirements of the Federal Records Act and applicable NARA regulations, and to ensure access to information by Department officials, and the public, as appropriate.

The Department and POs will establish and maintain effective and efficient Departmental and local programs for the management of Federal records. Program and administrative managers have the ultimate functional responsibility for implementing Department records management policies and procedures in their operational areas. Each PO is responsible for ensuring that its program records are covered by and managed in accordance with appropriate retention and disposition schedules. Records not covered by the Department's Records Disposition Schedule or General Records Schedules (GRS) must be scheduled by application to NARA for disposition authority.

Records collected, created, or maintained by the Department shall be safeguarded commensurate with the risk and magnitude of the harm that would result from the loss, misuse, unauthorized access to or modification of information. Safeguards shall be adopted to provide protection for information that is restricted from disclosure by the Privacy Act, the Computer Security Act, and other statutes, regulations, and Executive Orders. In addition, POs shall incorporate in their records management activities all applicable Department information security policies and measures, including but not limited to the requirements contained in the [Handbook for Information Assurance Security Policy \(Handbook OCIO-01\)](#).

All records created or received by an official, employee or contractor of the Department in the course of conducting Government business are the property of the Department. No person attains a proprietary interest in any record that he/she may create, provide input into, or acquire custody or possession of, by virtue of his/her position as an official, employee, or contractor.

Materials that are entirely personal are not "records" for purposes of Departmental records management requirements. Personal materials shall at all times be maintained separately from an office's records, and may be removed by an employee or contractor from the Department.

Removal of documentary materials by a separating Presidential appointee or employee must be approved in accordance with the provisions of this directive to ensure that the Department's ability to claim privileges during litigation, to apply FOIA exemptions, and to protect confidential information is not diminished, or waived.

Destruction of records is authorized only when conducted in compliance with the Department's records disposition schedules, as approved by the Archivist of the United States, and the GRS, issued by the NARA as described in 36 CFR, Section 1228.100. Criminal penalties are assessed for the willful and unlawful destruction, damage, or removal of Federal records, as described in 18 U.S.C. Section 2071.

### III. Authorization

The Federal Records Act [US CODE: Title 44, CHAPTER 31—RECORDS MANAGEMENT BY FEDERAL AGENCIES](#) and the relevant requirements of Title 36, Code of Federal Regulations (CFR), 1220 through 1238, contain the statutory and regulatory requirements for all Federal records management programs. NARA administers the records management program for the Federal Government. NARA's regulations on records creation, maintenance, and disposition are set forth in Subchapter B of 36 Code of Federal Regulations Chapter XII.

Agencies are required to integrate records management into the overall information resources management program (36 CFR 1222.20 and OMB A-130, *Management of Federal Information Resources*). The controlling statutes, regulations, and Office of Management and Budget (OMB) circulars appear below:

#### United States Code

- **5 U.S.C. Chapter 5, Subchapter II** – Administrative Procedure
  - § 552. Public information; agency rules, opinions, orders, records, and proceedings (Freedom of Information Act, as amended)
  - § 552a. Records maintained on individuals (Privacy Act of 1974, as amended)
  - § 553. Rule making (Administrative Procedures Act)
- **18 U.S.C. Chapter 101** – Records and Reports
  - § 2071. Concealment, removal, or mutilation generally
- **40 U.S.C. Subtitle III** – Information Technology Management (Clinger-Cohen Act of 1996)
- **44 U.S.C. Chapter 21** – National Archives and Records Administration
- **44 U.S.C. Chapter 29** – Records Management by the Archivist of the United States and by the Administrator of General Services
- **44 U.S.C. Chapter 31** – Records Management by Federal Agencies (Federal Records Act)
- **44 U.S.C. Chapter 33** – Disposal of Records (Federal Records Disposal Act)
- **44 U.S.C. Chapter 35** – Coordination of Federal Information Policy (Paperwork Reduction Act of 1980, as amended; Paperwork Reduction Reauthorization Act of 1995; and Government Paperwork Elimination Act)

#### Code of Federal Regulations

- **5 CFR Chapter III, Subchapter B** – OMB Directives
  - Part 1320. Controlling Paperwork Burdens on the Public
- **36 CFR Chapter XII, Subchapter B** – Records Management
  - Part 1220. Federal Records; General
  - Part 1222. Creation and Maintenance of Federal Records
  - Part 1228. Disposition of Federal Records
  - Part 1230. Micrographic Records Management
  - Part 1232. Audiovisual Records Management
  - Part 1234. Electronic Records Management
  - Part 1236. Management of Vital Records

- Part 1238. Program Assistance

#### OMB Circulars

- **OMB Circular A-123** – Management’s Responsibility for Internal Control
- **OMB Circular A-130** – Management of Federal Information Resources

#### IV. **Applicability**

This directive applies to all Department employees and contractors, and includes all Department records regardless of medium, as defined in the Federal Records Act.

#### V. **Definitions and Acronym Glossary**

The following records management terms are extracted from *A Federal Records Management Glossary* (1993), published by NARA.

- A. **Administrative records** are records that reflect routine, transitory, and internal housekeeping activities relating to subjects and functions common to all offices. Examples include training, personnel, and travel reimbursement files. Administrative records in conjunction with program records comprise the universe of agency records.
- B. **Disposition schedules** are mandatory disposition instructions that provide continuous authority to dispose of recurring series or systems of records, or to transfer them to the National Archives and its national network of Federal Records Centers.
- C. **Documentary Materials** is a collective term for records and non-record materials that refers to all media on which information is recorded, regardless of the nature of the medium or the method or circumstances of recording (36 CFR 1220.14).
- D. **Federal Records Act of 1950**, as amended, establishes the framework for records management programs in Federal agencies.
- E. **File plan** is (1) a plan designating the physical location(s) at which a PO’s files are to be maintained, the specific types of files to be maintained there, and the organizational element(s) having custodial responsibility; or (2) a document containing the identifying number, title or description, and disposition of files held in an office.
- F. **General Records Schedules (GRS)** are mandatory disposition instructions issued by NARA for temporary administrative records that are common to most Federal agencies.
- G. **National Archives and Records Administration** (NARA) establishes policies and procedures for managing U.S. Government records. NARA assists Federal agencies in documenting their activities, administering records management

programs, scheduling records, and retiring non current records to Federal records centers, and conducts periodic evaluations of agency compliance.

- H. **Non-record materials** are U.S. Government-owned informational materials excluded from the legal definition of records. Includes extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition. Also called “non-records.”
- I. **Permanent records** are those records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal, or fiscal purposes. Permanent records will be transferred to the physical and legal custody of NARA in accordance with the instructions contained in the relevant records disposition schedule.
- J. **Personal papers** are documentary materials belonging to an individual that are not used to conduct agency business. These papers are related solely to an individual’s own affairs or used exclusively for that individual’s convenience. They must be clearly designated as personal and kept separate from the Department’s records.
- K. **Program record** refers to records created, received, and maintained by the Department in the conduct of its mission functions for which the Department is accountable. The term is used in contrast to administrative records. Program records in conjunction with administrative records comprise the universe of agency records.
- L. **Record-keeping requirements** are statements in statutes, regulations, or directives that provide general and specific information on particular records to be created and maintained by the Department.
- M. **Records** are all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency or department of the U.S. Government under Federal law, or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or department or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them. (44 U.S.C. 3101, Definition of Records).
- N. **Records management program** refers to the planned coordinated set of policies, procedures, and activities needed to manage an agency or department's recorded information. Encompasses the creation, maintenance and use, and disposition of records, regardless of media. Essential elements include issuing up-to-date program directives, properly training those responsible for implementation, and carefully evaluating the results to ensure adequacy, effectiveness, and efficiency.

- O. **Retention period** is the period of time that records are to be kept in accordance with NARA-approved records disposition schedules.
- P. **Sensitive but unclassified (SBU) information** refers to any information in which the loss, misuse, unauthorized access to, or modification of could adversely affect the national interest, the conduct of Federal programs, or the privacy to which individuals are entitled, but are not eligible for classification pursuant to Executive Order 12958.
- Q. **Temporary records** are records approved by NARA for disposal, either immediately or after a specified retention period.

#### Acronym Glossary

- EIS – Electronic Information System
- FRA – Federal Records Act
- FRC – Federal Records Center
- GRS – General Records Schedules
- NARA – National Archives and Records Administration
- PRO – Program Records Official
- RIMS – Regulatory Information Management Services
- RLO – Records Liaison Officer
- RRO – Regional Records Official

#### VI. Responsibilities

- A. The **Secretary** shall ensure the creation and preservation of records that adequately and properly document the organization, functions, policies, decisions, procedures, and essential transactions of the Department. Operational responsibility for this program is delegated to the **Assistant Secretary for Management** and re-delegated to the **Director, Regulatory Information Management Services (RIMS)**.
- B. The **Director, RIMS**, shall provide overall leadership, planning, supervision, guidance, direction and general oversight of the Department's Records Management Program, and ensure its integration into the broader information resources management framework.
- C. **Principal Officers** and **Program Directors** shall provide for the implementation of the records/information management program within their respective areas. They will:
1. Ensure that the objectives of the Department's records management program are achieved.
  2. Establish, implement, and sustain records management programs within their respective organizations.

3. Ensure that permanent records are preserved and temporary records are transferred to off-site storage or destroyed promptly according to NARA-approved records disposition schedules.
4. Ensure that removal of documentary materials by separating Presidential appointees and Department employees is in accordance with the provisions of this directive.
5. Ensure appropriate records management training for Program Records Officials, Records Liaison Officers, and all other Department employees commensurate with their level of responsibility for records management.
6. Provide adequate staff resources to support records management processes within their respective organizations by assigning the following roles and responsibilities to designated staff:
  - a) A senior-level Program Records Official (PRO) with signature authority to approve records issues for the program and serve as the liaison with the Department's Records Officer.
  - b) At least one Records Liaison Officer (RLO) to provide day-to-day administration of an organization's records management program under the direction of the PRO.
  - c) Regional Records Officials (RRO), when designated, will assume local responsibilities corresponding to those of the PO's RLO.
7. Provide names and contact information, and updates as changes occur, for the designated PROs, RROs, and RLOs to the Department's Records Officer, Regulatory Information Management Services, Office of Management.

D. **Program Records Officials, Regional Records Officials, and Records Liaison Officers.** The PRO is responsible for the following program activities supporting the Department Records Management Program. Except for the items marked "PRO," these activities may be delegated to the RLOs and the RROs for their individual offices and sites.

1. Coordinate the records management program activities within their respective organizations to ensure compliance with this directive through the designated RLOs and RROs. (PRO)
2. Identify program-specific records and ensure they are covered by a NARA-approved records disposition schedule.
3. Ensure that permanent records are preserved and temporary records are transferred into off-site storage or destroyed promptly according to NARA-approved records disposition schedules.



4. Ensure that record-keeping requirements are established and kept current and that staff is kept abreast of any changes to these recordkeeping requirements.
  5. Review and approve or disapprove requests for removal of documentary materials by separating employees, and forward in a timely manner, the completed Documentary Materials Removal/Non removal Certification forms to the Department's Records Officer (see Appendix B).
  6. Ensure that all personnel with records management responsibilities receive appropriate records management training. (PRO)
  7. Ensure that the Department's Records Management Program provisions and standards are included into the scope and planning for electronic information systems. (PRO)
  8. Ensure that records are maintained cost effectively and that records storage facilities meet with requirements of 36 CFR 1228, Subpart K. (PRO)
  9. In conjunction with the Department's Records Officer, ensure the development and implementation of a PO file plan.
  10. Ensure that departing employees and contractors identify and transfer all Federal records in their custody to the designated custodian of the program files, i.e., either to the RLO or the person assuming responsibility for the work.
  11. Participate in the Department's ED Records Management Council. (PRO)
- E. The **Department's Records Officer, RIMS**, shall:
1. Develop policies and procedures related to the requirements of this directive and provide advice and consultation to POs in furtherance of its implementation.
  2. Provide overall leadership for Department records management activities as required by Federal laws and regulations, and which are specified in the Authorization section of this directive.
  3. Make available guidance, expertise, technical assistance, and training to staff in all aspects of the records management program.
  4. Serve as the Department's point of contact with NARA, other Federal agencies, and the public sector for issues related to the Department's records management program.
  5. Evaluate program effectiveness through periodic reviews of PO's records management activities.

6. In conjunction with PO records officials, develop records retention and retention schedules and once completed, serve as the Department's official point of contact for such schedules.
  7. Coordinate with PROs in the implementation of the Department's Records Management Program throughout the Department.
  8. Coordinate with PROs in the implementation of the documentary materials removal process for separating employees.
  9. Review and approve or disapprove requests for removal of documentary materials by Presidential appointees.
  10. Conducts records management exit briefings for Presidential appointees.
  11. Establish and chair the Department's Records Management Council.
- F. The **Office of Inspector General** shall assist in determining the retention of Department records that may be needed for internal audit purposes.
- G. The **Office of the General Counsel** shall notify the Department's Records Officer when a moratorium on records disposition is needed for litigation or other legal matters, and support the submission of Department records disposition schedules by reviewing them for legal retention before submittal.
- H. The **Chief Information Officer** shall ensure that records management considerations are incorporated into the Department system development life cycle methodology as part of managing the information life cycle.
- I. **Program Managers** shall ensure that their programs are properly documented, and that records created by their programs are managed according to Federal law and regulations (see Authorizations section), the Records and Information Management Handbook, and the provisions of this directive.
- J. **Information System Managers** shall oversee the creation and use of electronic records according to Federal regulations and Departmental policy and that recordkeeping functionality is developed for all information systems managing electronic records. This includes coordination with the Department's Records Officer to ensure compliance with record-keeping requirements, determine retention periods, and implement authorized disposition instructions for system data and documentation. Systems managers shall also coordinate with PROs when developing business cases for the Investment Review Board as part of the Capital Planning and Investment Control (CPIC) process to ensure that electronic records management requirements are incorporated into system design and development.

- K. **Information Technology Managers** shall notify the systems managers and PROs of technology changes that would affect access, retention, or disposition (archiving or disposing) of system records.
- L. **All Department employees and contractors shall:**
1. Complete annual online records management awareness training.
  2. Conduct work in accordance with Federal records management regulations and the Department's records management policies and procedures.
  3. Create and maintain adequate and proper documentation of the Department's functions, policies, decisions, and essential transactions.
  4. Destroy records only in accordance with approved records disposition schedules and remove non-record materials from the Department only after obtaining prior authorization.
  5. File personal papers and non-record materials separately from official Department records.
  6. Department employees shall complete the Department's "Documentary Materials Removal/Non removal Certification" form and submit to his/her Program Records Official prior to separation (see Appendix B).

## VII. Requirements

### A. Department Records Network

1. POs shall appoint a senior-level Program Records Official with signature authority to assume responsibility and accountability for the PO records management program.
2. PROs shall serve on the Records Management Council, which is chaired by the Department's Records Officer.
3. POs shall appoint Headquarters Records Liaison Officers and Regional Records Officers to implement the records management program.
4. POs shall provide the names, titles, and telephone numbers, and changes as they occur, of those designated as PROs, RLOs, and RROs to the Department's Records Officer.

### B. Records Creation

1. Official records shall be created that are sufficient to ensure adequate and proper documentation of all Department functions, policies, decisions, procedures, and essential transactions.

2. Program Offices shall develop and disseminate to staff general and specific guidance for creating and maintaining records documenting their organization, functions, and activities. An example of such guidance is a description of the records that are required to be created and maintained for a specific activity included in the relevant program handbook or manual.

**C. Records Maintenance and Use**

1. In conjunction with guidance provided by the Department's Records Officer, POs shall create and maintain current file plans that describe all categories of records created, received, and maintained by personnel in the course of their official duties.
2. File plans shall be updated and a copy submitted to the Department's Records Officer by March 31<sup>st</sup> of each year.
3. Records filing, indexing, and storage systems shall be designed, implemented and documented to the extent necessary to maximize their usefulness and facilitate access and retrieval for the life of the records.
4. Records shall be organized and indexed in a manner that permits employees with a need to access and retrieve the records to do so efficiently and effectively.
5. Confidential and privacy-protected records shall be managed and safeguarded in accordance with Department requirements governing access to and protection of sensitive but unclassified information.

**D. Records Disposition Schedules**

1. POs shall retain disposition records in accordance with the NARA-approved records disposition schedules contained in the Department's Records Disposition Schedules.
2. Unscheduled records (records that are not covered by a NARA-approved records disposition schedule) may not be destroyed.
3. Proposed records disposition schedules for unscheduled records shall be submitted to the Department's Records Officer for review and submission to NARA for approval.

**E. Permanent Records**

1. POs shall promptly transfer permanent records to the custody of the National Archives in accordance with the instructions of the relevant records disposition schedule.

2. POs shall ensure that information copies of SF-258s used to document transfer of permanent records to the National Archives are provided to the Department's Records Officer in a timely manner.
3. Permanent records shall be created, maintained, and stored in media and formats that adhere to NARA standards in 36 CFR 1228 Section 270.
4. Approved media and media-less transfer forms include open reel magnetic tape; magnetic tape cartridge; compact disc/read-only memory; and file transfer protocol (FTP) in accordance with 36 CFR 1228 Section 270.
5. Permanent electronic records shall be transferred to NARA in a software/hardware independent format.

#### **F. Electronic Records Management**

1. Electronic records, such as e-mail and word processing documents, shall be maintained in an electronic recordkeeping system meeting the requirements of DOD-5015.2-STD, revised June 2002, OR be printed and retained as paper files.
2. Electronic information systems (EIS) that contain records will have records management processes and requirements incorporated into their design and operations, or the equivalent manual processes required to retain their information. The following requirements shall be incorporated into the design and operations of an EIS containing Department records:
  - The EIS shall allow for the creation and maintenance of records sufficient to meet the documentation needs of the Department.
  - Records shall be stored and maintained in a manner that enables retrieval, access, and dissemination, if appropriate, for the life of the records.
  - Records within an EIS must be covered by a records disposition schedule.
  - The EIS must be capable of deleting temporary records or transferring permanent records to NARA, in accordance with the requirements of the relevant records disposition schedule.
  - Permanent electronic records must be created, maintained, and stored in media and formats that adhere to NARA standards.
3. POs planning to manage their records in electronic form must ensure that the records, including those incorporating an electronic signature capability, are legally sufficient for audit and other evidentiary purposes requiring trustworthy records. The electronic records must be created and maintained in compliance with the requirements of all pertinent Federal IRM laws and regulations, NARA and OMB guidance, and Department IRM policies.

**G. Records Destruction**

1. Records shall be destroyed in accordance with the Department's NARA-approved records disposition schedules.
2. Records containing sensitive but unclassified information shall be destroyed appropriately.
3. Criminal penalties may be associated with the unauthorized destruction of Federal records.

**H. Records Retirement and Storage**

1. POs will promptly retire inactive records to a NARA-approved records storage facility.
2. RLOs will timely provide an information copy of SF-135s and inventories or other paperwork used to document transfer of records to off-site storage to the Department's Records Officer.
3. Upon request by the Department's Records Officer, RLOs will provide statistics on the volume and location of records stored off-site, including records stored at commercial records storage facilities.

**I. Records Security and Privacy Protection**

Records containing sensitive but unclassified or privacy-protected information shall be managed in accordance with applicable statutes, regulations, policies and procedures for the life cycle of the records.

**J. Records Training**

1. The Department's Records Officer will develop general records management awareness and training materials for all Department employees.
2. The Department's Records Officer will develop and deliver Department-specific records management guidance for RLOs.
3. PROs will ensure that RLOs obtain appropriate NARA records management training.

**K. Removal of Documentary Materials by Presidential Appointees or Department Employees**General Procedures for Removal of Documentary Materials

- All records, original and copies, are under the control of the Department, regardless of how and by whom they were created or obtained.

- Records of the Department may not be removed under any circumstances.
- Non-record materials shall not be removed if this will create such a gap in the files as to impair the completeness of essential documentation. Indexes, or other finding aids, necessary for the use of the official records may not be removed.
- Extra copies (photocopies, etc.) of records may be removed under certain circumstances. Prior to removal, it must be determined that no legal or policy reason exists for keeping the information confidential and that the record copy, or other necessary copies, are available in the Department. If the copy is of a document originating with another agency, the requirements of the originating agency must be determined.
- Confidential or privacy-protected information may not be removed from the Department under any circumstances.
- Any violation of the statutory and regulatory limitations placed on removal of documentary materials by Department officials or employees who resign or retire will be forwarded to the appropriate officials, (e.g., Director of Information Assurance, Director of Security), who shall confer with the Inspector General regarding such violations.

#### Request to Remove Documentary Materials

- Separating Presidential appointees desiring to remove documentary materials must submit a written request to the Department's Records Officer, using the Department Certification Form "*Removal of Documentary Materials by Presidential Appointees.*" (see Appendix A)
- Separating employees desiring to remove documentary materials must submit a written request to his/her Program Records Official (PRO), using the Department form "*Documentary Materials Removal/Non removal Certification.*" (see Appendix B)
- Separating employees who are not removing documentary materials shall indicate the same by signing the appropriate block on the Department form "*Documentary Materials Removal/Non removal Certification.*"

**Appendix A – Removal of Documentary Materials by Presidential Appointees**

Department of Education  
 Certification Form  
 Removal of Documentary Materials by Presidential Appointees

**Documentary Materials That May Be Removed: Personal Files**

Examples of personal files include: files accumulated by an official before joining Government service that are not used subsequently in the transaction of Government business; materials relating solely to an individual's private affairs, such as outside business pursuits, professional affiliations, or private political associations that do not relate to agency business; diaries, journals, personal correspondence, or other personal notes not prepared or used for, or circulated or communicated in the course of transacting Government business (36 CFR, Section 1222.36(a), (b), and (c)).

**Documentary Materials that May Not Be Removed:**

Department records may not be removed under any circumstances. Confidential or privacy-protected information may not be removed under any circumstances.

**Penalties for Unlawful Removal of Records.**

Criminal Penalties are provided for the unlawful removal or destruction of Federal records (18 U.S.C. 2071).

I certify that I understand the foregoing information and that the documents (paper or electronic media) that I am removing from the Department have been reviewed and approved for removal in accordance with *OM:6-103, Records and Information Management Program* directive.

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 Name of Departing Official

Signature of Departing Official

Date

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 Name of Records Officer

Signature of Records Officer

Date



**Appendix B – Documentary Materials Removal/Non Removal Certification**

Department of Education  
Documentary Materials Removal/Non removal Certification

Name: \_\_\_\_\_

Office: \_\_\_\_\_

Are you removing any non record documents (paper or electronic) from the Department?  
\_\_\_\_ YES (Go to line 5a) \_\_\_\_ NO (Go to line 7b)

5a. I certify that the documents that I am removing from the Department have been reviewed and approved for removal. They do not include any documents relating to any pending or contemplated civil, criminal or administrative proceeding, or any other program information, which would, if released, impair or prejudice the outcome of the proceeding or Government policy determinations, decisions, or other actions. (Examples: confidential information; privacy-protected information; record copies; documents, even though judged to be non-record, that would create a gap in the files; and indexes and finding aids necessary to use of official records).

\_\_\_\_\_  
5b. Signature of Employee Date

\_\_\_\_\_  
6a. Program Records Official (Print Name)

\_\_\_\_\_  
6b. Signature of Program Records Official Date

7a. By my signature in block number 7b, I certify that I am not removing any documents from the Department of Education.

\_\_\_\_\_  
7b. Signature of Employee Date