Version	Date	Author	Description of Change
1.2a	10/1/13	J. Payne	Two-year update. Increased focus on PII: PII replaced Privacy Act in Title. Added PII related definitions. Clarified PII roles/responsibilities. RLC reassigned from Director's Office to Observing Systems Branch. Shredding log updated.
1.3	1/11/16	J. Payne	Updated minor nomenclature in 2-year review cycle.

USGS EROS ADMINISTRATIVE PROCEDURE

COORDINATION:

EROS Director | Deputy Director | Administrative Officer

SUBJECT / TITLE: Shredding of Federal Record Documents Containing Personally Identifiable Information (PII)

DATE: January 11, 2016

VOL / INDEX #: EROS-GEN-22

PREPARED BY: **Copies will be provided to:**
J. Payne, Policy and Communication Office
Preparer Date 1/12/16 Supervisor Date 1-13-16

OTHER COORDINATION: GS-N-EDC Federal Employees
CORs distribute to contracts.

STATUS: _x_ Permanent
__ Temporary

EXPIRATION DATE: January 10, 2018

PROCEDURE / MEMO: ___ Original
_x_ Supersedes (EROS-GEN-22, Shredding of Federal Records and Privacy Act Documents, v1.2a, 10/1/13)

ATTACHMENT TO: N/A

PURPOSE: Establishes criteria and process for shredding of Federal Record documents containing PII.

UTILIZATION: _x_ Daily, __Weekly, __Monthly, __Other

TEXT: Procedure follows on the next page.

1.0 References.

- The Privacy Act of 1974, 5 U.S.C. § 552a, as amended, at URL http://www.justice.gov/opcl/privacy-act-1974
- EROS-GEN-16 File Plan Approval Procedure for Administrative Records http://edchome.cr.usgs.gov/eros/policy-procedure/

2.0 Purpose.

This procedure establishes criteria and processes for shredding of Federal Record documents at the USGS Earth Resources Observation and Science (EROS) Center containing Personally Identifiable Information (PII). The scope of this procedure is Center-wide and applies to all employees who have records containing PII.

3.0 Definitions.

EROS Personal Identifiable Information (PII) Shred Log. An Excel spreadsheet used to document and monitor the shredding of documents containing PII at EROS. See appendix A.

File Custodian. The individual responsible for the proper maintenance, storage, security, and control of the administrative record material.

General Records Dispositions Schedule (GRDS). The USGS GRDS provides mandatory disposition instructions for administrative records common to most Federal agencies.

Personal Identifiable Information (PII). PII is information that can be used to distinguish or trace an individual's identity, such as their name, social security number, biometric records, etc. alone, or when combined with other personal or identifying information which is linked or linkable to a specific individual, such as date and place of birth, mother's maiden name, etc.

Lower Level Annex Shredding Area. A secured room (**single door in/out, no windows, special/limited key access**) *within a secure* **(card key access area)** in the lower level of the Mundt Federal Bldg.

Records Liaison Coordinator (RLC). The individual that acts as a liaison with the RLO in all phases of records programs at EROS. The RLC is currently the Administrative Assistant for the Policy and Communication Office.

Records Liaison Officer (RLO). The individual responsible for overall coordination of records programs at EROS. The EROS Archivist is also the Climate and Land Use (CLU) Change Mission Area RLO.

Records Series. A group of similar records that are used, filed, and disposed of in a similar fashion.

Retention Period. The period of time a document should be kept or "retained". At the termination of the retention period, the document is disposed of in accordance with the processes outlined in the GRDS.

Warehouse Logistics Contract Employees. Employees that have been granted the authority by the RLO/RLC to shred documents. The Warehouse and Logistics Contract Employees are all bonded and each has access to the Annex Shredding Area. Each individual completes the annual information security training and each is trained to use the shredding equipment.

4.0 Procedure.

4.1 Roles and Responsibilities.

The File Custodian will initiate the shredding procedure when they identify files that are past their retention period and contain PII.

The RLO/RLC will ensure files presented for shredding are assigned to an appropriate records series and are candidates for shredding, based on the criteria set forth in the USGS GRDS, prior to being sent to the Annex Shredding Area.

The RLO/RLC will maintain the EROS PII Shred Log, documenting what and when was shredded. The log information will be uploaded to the USGS Records Management Program site at URL https://collaboration.usgs.gov/cio/eiim/records/Lists/Records%20Move%20Request%20Tracking%20System/Disposition%20view.aspx .

The Warehouse Logistics Contract Employees will be responsible for arranging for the transport of the documents to the RLC for review, as well as from the RLC to the Annex Shredding Area.

Warehouse Logistics Contract Employees are also responsible for shredding approved documents and safeguarding their privacy until complete.

4.2 Process.

1. File Custodian

   a) The File Custodian will identify documents/files believed to be past their retention period and contain PII. Both the RLO and RLC can be contacted for any questions on record series assignment or disposition determination.
   b) The File Custodian will initiate a request to have the documents transferred to the RLC for review/approval for shredding. This request will be in the

form of an email to the Warehouse Logistics Contract Employees, with a courtesy copy to the RLC. Documents will be placed in a box to await transport to the RLC. Documents must be kept in a locked/secure location until transfer.

2. Warehouse Logistics Contract Employees

   a) The Warehouse Logistics Contract Employees will arrange to have the boxes transferred directly to the RLC.

3. Records Liaison Coordinator

   a) The RLC will verify the items are candidates for shredding. If they are determined not to be candidates for shredding, they will then be disposed of as outlined in the GRDS.
   b) Documents requiring shredding will be sealed by the RLC; and the box will be marked "SHRED ONLY".
   c) The RLC will then enter the information into the "EROS PII Shred Log" and assign a log number. See Appendix A.
   d) The RLC will upload the Shred Log to the USGS Records Management Program site at URL https://collaboration.usgs.gov/cio/eiim/records/Lists/Records%20Move%20Request%20Tracking%20System/Disposition%20view.aspx.
   e) The RLC will contact the Warehouse Logistics Contract Employees to schedule a date for shredding.

4. Warehouse Logistics Contract Employees

   a) Warehouse Logistics Contract Employees will keep the schedule for shredding and will coordinate efforts necessary to have boxes moved from the offices of the RLC to the Annex Shredding Area on the scheduled date.
   b) Warehouse Logistics Contract Employees will not leave documents unattended. If shredding is not completed, documents are 'secured' in Annex Shredding Area and shredding will resume next available opportunity.
   c) Warehouse Logistics Contract Employees will notify the RLC, via email, when the shredding has been completed.

5.0 Appendices.

Appendix A. EROS PII Shred Log

Appendix A.

EROS PII Shred Log

Fiscal Year _____

Log # (MM-##)	Date Received	Initiator Name	Description of Contents	Date Sent for Shredding	Date Complete