



Contact Person [Rhonda DeShong](#)
Document Procedure 48202.001

Revision 1.0
Effective Date 10/01/2016
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SENSITIVE DOCUMENT DESTRUCTION PROCEDURE

This document describes Ames Laboratory's procedure for disposing of sensitive documents, including documents containing personally identifiable information (PII) and documents identified as official use only (OUO).

1.0 APPROVAL RECORD

- Reviewed by: Training & Documents, Quality Assurance Coordinator (Molly Granseth)
- Approved by: Records Management Coordinator (Rhonda DeShong)
- Approved by: Legal Counsel (Barbara Biederman)
- Approved by: Manager, Human Resources (Lynnette Witt)
- Approved by: Chief Operations Officer (Mark Murphy)

The official approval record for this document is maintained by Training & Documents.

2.0 REVISION/REVIEW INFORMATION

In accordance with the [Ames Laboratory Document Control program](#), this procedure will be reviewed at a minimum of every three years. The revision description for this document is available from and maintained by the author.

3.0 PURPOSE AND SCOPE

The Sensitive Document Destruction Procedure outlines the manner in which all sensitive documents at Ames Laboratory are destroyed in order to protect any governmental, commercial or personal interests from damage that may occur if the information were to be intentionally or accidentally shared with unauthorized individuals.

All Ames Laboratory personnel have the authority and responsibility to declare a document OUO if it originates from, is produced for, or is maintained by their office and meets the criteria described in [DOE M 471.3, Manual for Identifying and Protecting Official Use Only Information](#):

- a) The document must be unclassified AND;
- b) Considered to have the potential to damage governmental, commercial, or private interests if disseminated to persons who do not need the information to perform their jobs or other DOE-authorized activities, OR
- c) The information within falls under at least one of the [Freedom of Information Act \(FOIA\) exemptions 2 through 9](#).

The sources of most OUO information at Ames Laboratory are personnel information or scientific research related to technical subject matters or technologies identified by the Department of Energy's (DOE) [Sensitive Subjects List \(SSL\)](#).

3.1 Definitions

- **Document:** Recorded information regardless of its medium or characteristics.
- **Official Use Only (OUO) Information:** Unclassified information that has the potential to damage governmental, commercial or private interests or is exempt from public release under the Freedom of Information Act (FOIA).



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- **Personally Identifiable Information (PII):** Any information about an individual maintained by an agency, including but not limited to, education, financial transactions, medical history, and criminal or employment history and information which can be used to distinguish or trace an individual's identity, such as their name, social security number, date and place of birth, mother's maiden name, etc., including any other personal information which is linked or linkable to an individual.
- **Sensitive Document:** A document that contains OUO and/or PII.
- **Sensitive Information:** Official use only information or personally identifiable information.

4.0 ROLES AND RESPONSIBILITIES

4.1. Records Owners will:

- Determine whether their document contains OUO information. If so, it must be marked as outlined in [DOE M 471.3-1, Manual for Identifying and Protecting Official Use Only Information](#). Safeguards & Security may be contacted for guidance in determining whether the document contains OUO information. Document Control may be contacted for assistance with marking the document.
- Ensure that OUO markings are removed from any documents that contain information that is no longer deemed to be OUO.
- Determine whether their document contains PII.
- Restrict access to electronic and physical files containing sensitive information to only those who need it to perform their jobs or other DOE-authorized activities.
- Dispose of documents containing sensitive material in designated bins according to their disposition schedule or as the document becomes obsolete.

4.2. Records Management Coordinator will:

- Coordinate the Sensitive Document Disposal procedure.

4.3. Safeguards & Security will:

- Assist records owners, upon request, in determining whether a document contains sensitive material.

4.4. Document Control will:

- Assist records owners, upon request, in applying appropriate marking to OUO documents and/or files.

4.5. Ames Laboratory Personnel will:

- Contact the Records Management (RM) office when the bin in their office is full.
- Abide by the allowable items guidelines (see Attachment 1) posted near all bins.
- Mark the first line of any email messages containing OUO with "OUO" before any of the text. If the email itself is not OUO but an attachment contains OUO information, the message must indicate that the attachment is OUO and the attachment must be marked appropriately.



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5.0 PREREQUISITE ACTIONS AND REQUIREMENTS

The Records Management (RM) office provides bins designated strictly for the disposal of sensitive documents. The bins are distributed throughout TASF and personnel may request use of a bin for specific projects. The designated bins are locked and only RM staff has access to keys. All Ames Laboratory employees are required to complete annual training regarding PII and how documents containing PII must be handled, maintained, and destroyed.

Human Resources may impose disciplinary action if an OOU document is intentionally not marked, or if a document known not to contain OOU/sensitive information is marked as containing such information. If it is questionable as to whether information constitutes OOU, employees should contact Safeguards & Security for clarification/determination.

6.0 PROCEDURE

A bin designated for the disposal of sensitive documents will be located on each floor of the TASF building, and upon request in other Ames Lab-owned or leased spaces. When a bin is filled to capacity, personnel using the bin should contact RM staff to remove and replace it with an empty one. RM staff will then contact ISU Facilities Planning & Management (FP&M) to arrange a bin pick up. FP&M coordinates the [Document Destruction Operating Plan](#) on Iowa State University campus. To assure professional, certified document destruction, they have contracted a bonded document destruction vendor, Republic Services, to provide locked bins, collect bins, and provide certified documentation of certified destruction upon request.

7.0 REFERENCES/RESOURCES

[DOE M 471.3, Admin Chg 1, Manual for Identifying and Protecting Official Use Only Information](#)

[DOE O 206.1, Department of Energy Privacy Program](#)

[DOE O 471.3, Identifying and Protecting Official Use Only Information](#)

[10 CFR Part 1004, Freedom of Information Act](#)

[Iowa State University Document Destruction Operating Plan](#)



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Attachment 1

Allowable Items Guidelines for Document Destruction Bins

Acceptable

Copy Paper
Letterhead
Computer Paper
Fax Paper
White Paper
Colored Paper
Shiny or Coated Paper
Magazines
Brochures
Carbonless Forms
Sticky Notes
White or Gold Envelopes without Windows
Business Cards
Manilla Folders (light metal clips)
Staples and Paperclips
Spiral Notebooks

Not Acceptable

Tissue Paper
Paper Towels
Steel Strip in Hanging File Folders
Three Ring Binders
Carbon Paper (trace amounts are ok)
Newspaper
Cardboard
Plastic
Metal
Glass
Food