



**Boston Government Services LLC**

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**OFFICE RECORDS**

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**BGS-RM-02**

**Revision 0**

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**BGS Proprietary Information Notice**

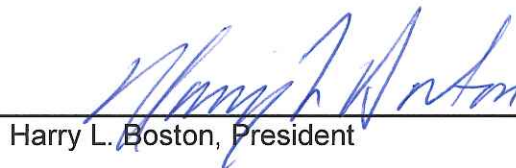
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3/2/2016  
Date

Effective Date: 3/31/2016

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<b>PROCEDURE TITLE: Office Records</b>	<b>REV. NO. 0</b>	<b>DATE: 03/31/2016</b>
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**Revision History**

<b>Rev. #</b>	<b>Date</b>	<b>By</b>	<b>Type<sup>1</sup></b>	<b>Changes</b>
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<sup>1</sup> M = major change, mc = minor change, N = new

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## 1. PURPOSE

The purpose of this procedure is to establish responsibilities, requirements, and instructions for identifying, processing, storing, and destroying of Boston Government Services, LLC (BGS) Office Records.

## 2. SCOPE

This procedure applies to Office Records generated by BGS as identified in BGS' procedures, general office, and other management identified records.

## 3. REFERENCES

- 3.1. BGS-QAP-01, *Corporate Quality Assurance Plan*
- 3.2. BGS-IM-03, *Backup and Storage Standards*
- 3.3. Privacy Act of 1974 (Public Law 93-579, 88 Stat. 1896)
- 3.4. DOE O 243.1, *Records Management Program*
- 3.5. Subchapter B of 36 CFR Chapter XII National Archives and Record Administration (NARA)

## 4. DISCUSSION AND OVERVIEW

- 4.1. Records generated from BGS business operations and personnel management are maintained as Office Records.
- 4.2. BGS endeavors to maintain all records, to the extent practical, as electronic media.
- 4.3. Business sensitive or company private records are maintained according to the Privacy Act of 1974 (Public Law 93-579, 88 Stat. 1896) as amended.
- 4.4. No classified information is held or maintained by BGS.
- 4.5. BGS endeavors to maintain all records, to the extent practical, as electronic media.
- 4.6. BGS utilizes electronic signatures. Authors can create password protected signatures on the computer in which they will be electronically signing documents. Password protection secures the signature for use by the signature owner only. When utilized the Author applies their unique signature file to documents requiring signature. The signature file's password is required to place the signature on a file. Any modifications to a file after any signer signs a file, marks all signatures on that file as invalid, and all signatures must be reapplied.
- 4.7. BGS may utilize a centralized signing computer to facilitate the expediency of electronically signing documents.

## 5. DEFINITIONS AND ACRONYMS

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**BGS** Boston Government Services, LLC

**Business Sensitive or Company Private Document** A record related to corporate internal financial, accounting, or other sensitive areas such as contracts, salaries, and human resources files.

**DCA** Document Control Administrator

**Electronic** Relating to technology having electrical, digital, magnetic, wireless, optical, electromagnetic, or similar capabilities.

**Electronic Record** A record created, generated, sent, communicated, received, or stored by electronic means.

**Electronic Signature** A method of signing an electronic record that identifies and authenticates a particular person as the source of the electronic record, and indicates such person's approval of the information contained in the electronic record, such that if the information within the record changes after the signature is applied, the signature is no longer valid.

**Functional Manager (FM)** A person who has management authority over an organizational unit, such as a department, within BGS. BGS identifies and assigns individuals to functional areas (e.g., Accounting, Quality Assurance, Information Management, and Business Development).

**NARA** National Archives and Records Administration

**Project Manager (PM)** A person assigned to manage resources and activities to deliver products or services and is responsible for project performance (cost, schedule, and delivery of quality products).

**QA** Quality Assurance

**QAP** Quality Assurance Plan

**Record** All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an Agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that

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Agency or its legitimate successor as evidence of the organization, functions, policies, decision, procedures, operations, or other activities of the Government or because of the informational value of the data in them. (44 U.S.C.3301)

**RMS**                      Records Management System

## **6. RESPONSIBILITIES**

### 6.1. BGS President

- 6.1.1. Provide resources for developing, implementing, and maintaining BGS' Records Management Program.
- 6.1.2. Designate a Document Control Administrator (DCA).
- 6.1.3. Provide authorization for the destruction of Federal records.

### 6.2. Human Resources Functional Manager (FM)

- 6.2.1. Retains all master personnel records.

### 6.3. Accounting FM

- 6.3.1. Retains all corporate-owned financial records.

### 6.4. Project Managers (PM) and FMs

- 6.4.1. PMs and FMs are responsible for submitting Office Records to the DCA for processing.

### 6.5. Document Control Administrator

- 6.5.1. The DCA (or alternate) is responsible for receiving, storing, control, recording, and maintaining Office Records submitted into the Records Management System (RMS).
- 6.5.2. Responsible for overall management and control of Office Records

### 6.6. BGS Personnel

- 6.6.1. BGS Personnel are responsible for submitting records identified in BGS controlled documents per this procedure.

## **7. PROCEDURE**

### 7.1. Office Record – Generation

- 7.1.1. Office Record generators perform the following:

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- a) Protect Office Record against damage or loss until submitted to the DCA.
- b) Ensure Office Record is legible, identifiable, and complete.
- c) Upon completion of the Office Record, the generator has two options to submit the Office Record:
  - Hardcopy - completes Form BGS-RMF-01.1, *Record Submittal Form*, (Attachment 1) and attaches as a cover to the Hard Copy Record, then submits the package to the DCA (see 7.1.2 and 7.1.3 below for exceptions).
  - Electronic -generates an email (that contains all the information required in the Form) to documentcontrol@bgs-llc.com and attaches the Office Record to the email. The "Subject" of the email shall be: "Record Submittal". The generator can add any additional information in the Subject line after the term "Record Submittal". (See 7.1.2 and 7.1.3 below for exceptions.)

7.1.2. Corporate-owned financial records are to be submitted to the BGS' Accounting FM.

7.1.3. Personnel Records are to be submitted to the Human Resources FM.

## 7.2. DCA Entry of Records

7.2.1. Hard Copy Records - Upon receiving the Hard Copy Office Record and record submittal Form or email, the DCA performs the following:

- a) Verifies that the generator completed the submittal form with enough information for RMS data entry.
  - If there is not enough information in the submittal form, the DCA completes Form BGS-RMF-01.2, *Records Rejection Form*, and returns the record to the record generator for correction and resubmittal.
- b) If the record submittal is complete, the DCA scans the Hard Copy Record to produce an electronic record file. The original hard copy can be returned to the document author.
- c) The DCA reviews the scanned copy to ensure the electronic document is an accurate creation of the Hard Copy Record.
- d) Continue the entry process starting at section 7.2.2 b) below.

7.2.2. Electronic Records - Upon receiving an electronic Office Record and associated record submittal Form (email), the DCA performs the following:

- a) Verifies the electronic file is legible and complete by opening the file and

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visually inspecting the document.

- b) Converts the record to a Read Only format (if not already performed by the record generator).
- c) Enters the record into the RMS, retrieves the file code, inserts the file code number into the electronic file name, and electronically files the record.
- d) The DCA sends a confirmation email to the record generator confirming the RMS Record number.

### 7.3. Records Control Log

- 7.3.1. BGS uses an Microsoft Access database as the RMS. The RMS data is maintained on the BGS server and backed up per BGS-IM-03, *Backup and Storage Standards*.
- 7.3.2. At a minimum, the RMS identifies each Office Record with a file code, description, the date it was entered into the system, and the owner of the record. Other information can be entered into the RMS as determined by the record generator or the DCA.
- 7.3.3. Only the DCA (or alternate) and the Computer System Administrator have write access to the RMS.
- 7.3.4. Only the DCA (or alternate) is authorized to assign file codes or make entries in the RMS.

### 7.4. Storage and Protection (Electronic Records)

- 7.4.1. Subfolders are created to organize records in a manner deemed appropriate by the DCA.
- 7.4.2. At a minimum, each electronic file is labeled using the RMS file code.
- 7.4.3. Office Records are stored, backup, and protected per the processes detailed in BGS-IM-03, *Backup and Storage Standards*.

### 7.5. Record Retention

- 7.5.1. BGS Office Records are maintained per their retention schedule identified in Attachment 2.

### 7.6. Record Requests

- 7.6.1. When a record is requested for use, the DCA makes an electronic copy of the record and transmits the copy to the requester.

### 7.7. Records Disposition

- 7.7.1. Once a BGS Office Record is retained for the required retention schedule



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(Attachment 2), the record can be destroyed (e.g., electronic versions deleted; hard copy records destroyed).

- 7.7.2. The DCA prepares a list of records to be destroyed and obtains authorization from the BGS President.
- 7.7.3. Once BGS internal authorization is obtained, the DCA obtains Department of Energy approval for the destruction of Federal records that have met the required retention period.
- 7.7.4. Once authorization is received, the date the authorization and date the record was destroyed are noted in the Record Control Log (see section 7.3)

## **8. RECORDS**

- 8.1. No QA records are generated from this procedure.

## **9. ATTACHMENTS**

- 9.1. Attachment 1 – Form BGS-RMF-01.1, *Records Submittal Form* EXAMPLE
- 9.2. Attachment 2 – Record Retention Times for BGS Office Records

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**ATTACHMENT 1 – Form BGS-RMF-01.1, Records Submittal Form EXAMPLE**



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Record Submittal Form  
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<b>Special Instructions:</b>	<i>Insert any special instructions that you deem is needed. If none, then insert "none"</i>		
<b>Document Number:</b>	<i>If the document has a unique document number (i.e., a controlled document such as: BGS-RM-01, BGS-SATR-01) then insert here. If none, insert "none"</i>		
<b>Revision Number:</b>	<i>If the document has a unique document number (i.e., a controlled document such as: BGS-RM-01, BGS-SATR-01) then insert here. If none, insert "none"</i>		
<b>Document Date:</b>	<i>Date of the document (i.e., approval date or date signed)</i>		
<b>Document Title:</b>	<i>The title of the document (i.e., Attendance Sheet for.....)</i>		
<b>Owner:</b>	<i>Who owns the document? (i.e., who would you contact if a person had a question about the document's contents?)</i>		
<b>Project Name:</b>	<i>ATLAS, Corporate, RADCALC, RADCALC Phase 2, RADTRAN, TOS, etc.</i>		
<b>Type of Record</b>	<i>Select One: Office, QA, Corporate, Other (provide additional info below)</i>		
<b>Additional Info</b>	<i>If it is an Office Record, then identify type of record (see Attachment 1 of BGS-RM-02 as a reference) If it is an "Other" record, insert any applicable identifying information.</i>		
<b>Generating procedure:</b>	<i>If it is a QA record, then include the procedure that required the record to be generated. If unsure, contact the QA Manager.</i>		
<b>Is Document Business Sensitive or Proprietary?</b>	<i>Yes/No</i>		
<b>Does this document supersede another document?</b>	<i>Yes/No. If yes, then identify the document and revision number, if applicable that needs to be archived as a result of the document you are submitting being issued.</i>		
<b>Subtype:</b>	<i>The following are available subtypes. Indicate the one that applies to the document that you are submitting.</i>		
	<b>Subtype</b>	<b>Subtype</b>	<b>Subtype</b>
	Accounting	Form	Required Reading
	Administrative	Legacy Document	Software QA Document
	Assessment	Matrix	Training
	Business Development	Miscellaneous	Work Aid
	Contracts-Client	NCR	
	Contracts-Subs	Not Applicable	
	Corrective Action	Personnel	
	Corrective Action Plan	Plan	
	Correspondence-DOE	Procedure	
	Correspondence-General	Procurement	

<b>Printed Name:</b> _____	<b>Date of submittal to RM:</b>
<b>Signature:</b> _____	

NOTE: An email can be used in lieu of a Record Submittal Form as long as the email has all of the same information.

Form BGS-RMF-01.1 Rev 0

Electronic documents once printed, are uncontrolled and may become outdated.  
Contact the Document Control Administrator (DCA) for the correct version and current revision.

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### ATTACHMENT 2 – Record Retention Times for BGS Office Records

Record Type	Retention Period	Record Location	Disposition Authority
<b>1.0 Finance</b>			
Accounting Audit Records	Cut off file at Fiscal Year. Destroy 6 years and 3 months after cut off.	Finance	ADM 6.1.a
Accounting Administrative Records	Cut off file at Fiscal Year. Destroy 3 years after cut off.	Finance	ADM 6.5.b
Budget Correspondence Files	Cut off at end of fiscal year. Destroy 2 years after cutoff.	Finance	ADM 5.1.b
Financial Management and Reporting Records (financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting).	<b>TEMPORARY.</b> Cut off file at Fiscal Year. Destroy 6 after final payment or cancellation, but longer retention is authorized if required for business use.	Finance	General Records Schedule (GRS) 1.1, Item 010, DAA-GRS-2013-0003-0001
Procurement Records (contracts, subcontracts, purchase orders, service agreements, etc.)	Cut off file after final payment. Destroy 6 years after FY cut off.	Contract Management	GRS 1.1, DAA-GRS-2013-0003-0002
Travel and Transportation Records (Reimbursable)	Cut off file at Fiscal Year. Destroy 6 years after cut off.	Finance	GRS 1.1, DAA-GRS-2013-0003-0002
Property, plant and equipment and other asset accounting. Records necessary for documenting the existence, acquisition, ownership, cost, valuation, depreciation, and classification of fixed assets such as real property, capitalized personal property, internal use software, equipment, etc.	Destroy 2 years after asset is disposed or and/or removed from agency's financial statement, but longer retention is authorized if required for business use.	Finance	GRS 1.1 DAA-GRS-2013-0003-0004
<b>2.0 Human Resources</b>			
Employee Separation Records	Cut off file at time of separation. Destroy 1 year after separation.	Human Resources	GRS 2.5
Personnel Records (Supervisors' Files – personnel action records)	Review annual and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation.	Human Resources	ADM 1.17.a

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Record Type	Retention Period	Record Location	Disposition Authority
Administrative Training Records (Personnel)	Cut off after last session. Destroy 1 year after employment separation	Human Resources	ADM 1.29.1.b
Occupational Injury and Illness Files (Personnel)	Cut off file at fiscal year. Destroy 5 years after cut off.	Human Resources	ADM 1.34
Directories/Phone Listing (Personnel)	Cut off file at fiscal year. Destroy 5 years after cut off.	Human Resources	ADM1.55.b
Timesheet and Attendance Records (Payroll)	Cut off when superseded/obsolete. <b>EPI HOLD – DO NOT DESTROY.</b> Destroy 6 years after cutoff.	Human Resources	ADM 2.7
<b>4.0 Records Management</b>			
Records management program records. Records related to the policies, procedures, and management of agency business records from creation to eventual disposition.	<b>Temporary.</b> Destroy no sooner than 6 years after the project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use.	Document Control	GRS 4.1, Item 020, DAA-GRS-2013-0002-0007
Vital or essential records program records. Records involved in planning, operating, and managing the agency's vital or essential records program.	<b>Temporary.</b> Destroy 3 years after project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use.	Document Control	GRS 4.1, Item 020, DAA-GRS-2013-0002-0008
<b>Administrative Management Records</b>			
Correspondence Files (letters, memorandums, forms, reports, and other data that relate to functions for which the office exists; correspondence files documenting the day-to-day operations and routine administration of established or new missions, policies, and procedures for which the office or contractor has primary responsibility).	Cut off at end of calendar year. <b>EPI - DO NOT DESTROY.</b> Destroy 15 years after cutoff.	Document Control	ADM 16.1.5.b
Forms Files (one record copy of each form created by a Department with related instructions and documentation showing inception, scope, and purpose of the form).	Cut off when superseded, obsolete, or cancelled. Destroy 5 years after cut off.	Document Control	ADM 16.3a (GRS 16, Item 3)
Administrative Management Records (Improvement Program)	Cut off file at Fiscal Year. Destroy 5 years after cut off.	Document Control	ADM 16.1.2

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Record Type	Retention Period	Record Location	Disposition Authority
Administrative Management Records (Project Control Files)	Cut off file at project close. Destroy 1 fiscal year after cut off.	Contract Management	ADM 16.5
Administrative Issuances (notices and other types of issuances related to routine administrative functions such as procedures).	Cut off when superseded, obsolete, or cancelled. Destroy when cutoff.	Document Control	ADM 16.1.a (GRS 16, Item 1)
Office Administrative Files (organization charts, staffing, and procedures of the organization).	Cut off at end of fiscal year. <b>Permanent</b> <b>DO NOT DESTROY.</b> Transfer to NARA 25 years after cutoff.	Document Control	ADM 23.1.b
Tracking and Control Records (logs and registers used to control or document the status of correspondence, reports, or other records that are authorized for destruction).	Cut off at the end of fiscal year. Destroy or delete when 2 years old, or 2 years after date of last entry, whichever is applicable.	Document Control	ADM 23.8
Communications (speeches, formal presentations, news media materials)	Cut off at end of fiscal year. <b>Permanent</b> <b>DO NOT DESTROY.</b> Transfer to NARA 25 years after cutoff.	Document Control	ADM 14.41