

SEPARATION CLEARANCE CERTIFICATE**Section I. General Separation Information****Instructions for Immediate Supervisor:**

1. Initiate this form no less than **1 (one) week** prior to the employee's separation date, according to Departmental and bureau instructions.
2. Complete Section I of this form.
3. Advise the employee of his/her responsibility regarding the clearance process and give the form to the employee.
4. Upon the employee's receipt of all clearance signatures AND his/her completion of Section III, you must complete Section IV of this form and hand carry to the Servicing HR Office.

NAME OF SEPARATING EMPLOYEE**SEPARATION DATE****DATE CD-126 INITIATED****FULL NAME OF ORGANIZATION**

U.S. Department of Commerce

TYPE OF SEPARATION☐ Leaving Federal Service☐ Transfer to Another Agency☐ Reassignment within Commerce**REQUEST FOR PERSONNEL ACTION, SF-52**☐ Submitted☐ Attached☐ Not Required**INTERIM SUMMARY PERFORMANCE APPRAISAL, CD-430 (APS/APMS employees)****CD-541 (APS/APMS employees)****Executive Performance Agreement (SES employees)****CD-518 (ST/SL employees)**☐ Attached☐ Not Required

Required when employee is reassigned to another position in the Department or transfers to another Federal agency after serving in his/her position for 120 days or more during the appraisal cycle (90 days or more for SES and ST/SL).

LEAVE AUDIT, CD-527☐ Attached☐ Not Required**LUMP SUM LEAVE PAYMENT, CD-529**☐ Attached☐ Not Required**Section II. Clearance Required for All Employees****Instructions for Employees:**

1. Follow your supervisor's instructions and your organization's clearance procedures as soon as you receive this form from your supervisor.
2. To avoid delay in your final paycheck, this form must be completed and submitted to your servicing HR Office before your final paycheck, lump sum leave or any other monies due you can be released. You **MUST** clear each office/function that has been determined by your supervisor.
3. Upon receipt of all signatures return this form to your supervisor.
4. Your supervisor will complete Section IV of the form and submit to the Servicing HR Office.

Instructions for Clearance Officials:

1. Indicate clearance of chargeable items by printing in and signing the applicable block with your full name, date and phone number.
2. Note the reason any chargeable item was not accounted for or returned and if appropriate, indicate the dollar value of the unaccounted items to be collected from the employee.
3. Follow bureau/office clearance procedures to ensure designated authorizing official(s) has cleared.

| OFFICE/FUNCTION | CLEARED BY: (Printed Name and Signature) | DATE | PHONE |
|--|--|------|-------|
| 1. SECURITY | | | |
| a. PTV /PIV or other official identification | ----- | | |
| b. Door Keys | ----- | | |
| c. Investigative Credential and Badge | ----- | | |
| d. Security Debriefing/Courier Authorization, CD-75 | ----- | | |
| 2. INFORMATION TECHNOLOGY ACCESS | | | |
| a. Financial – CBS, CRS | ----- | | |
| b. HRIT – NFC, EPIC, LMS, ACS, GSS systems, HRConnect, Hiring Management, Central Account(s), State Plan Portal Account (<i>Notify AT&T</i>) | ----- | | |
| c. Administrative – Phone listing, e-mail account | ----- | | |
| d. Phone card / GETS card, Subscriber Paid Access Remote Access Device (ex. RSA token) / PDA (ex. iphone) | ----- | | |
| 3. PERSONAL PROPERTY | | | |
| a. Property Custodian | ----- | | |
| b. Property Accountability Officer | ----- | | |
| c. Bureau Property Management Officer | ----- | | |
| 4. PROGRAM OFFICE FINANCE | | | |
| a. Travel Advance | ----- | | |
| b. Imprest Fund (where applicable) | ----- | | |
| 5. ACQUISITION MANAGEMENT | | | |
| a. Purchase Card | ----- | | |
| b. Acquisition Systems | ----- | | |
| 6. ADMINISTRATIVE (Miscellaneous) | | | |
| a. Passports / Visa | ----- | | |
| b. Travel Card | ----- | | |
| c. Metro Subsidy / Parking | ----- | | |

| OFFICE/FUNCTION | CLEARED BY: (Printed Name and Signature) | DATE | PHONE |
|---|--|------|-------|
| 7. EMPLOYEE'S IMMEDIATE OFFICE | | | |
| a. Travel Card (Employee is not delinquent on their Government issued travel card) | ----- | | |
| b. Continued Service Agreements (i.e. Student Loan Repayment, Recruitment Bonus, etc) | ----- | | |
| c. Timekeeper Certification – T&A coded final | ----- | | |
| d. T&A Access terminated | ----- | | |
| 8. HUMAN RESOURCES | | | |
| a. Receipt of Lump Sum leave form | ----- | | |
| b. Receipt of Leave Audit form | ----- | | |

SECTION III. EMPLOYEE CERTIFICATION

I certify that, except as otherwise indicated, I have no Government property, records or documents, including classified material issued or furnished by the Department of Commerce or reproduced by me, and I am not otherwise indebted to the United States Government.

I certify that I have reviewed all the non-record documents (defined in Department Administrative Order (DAO) 205-3) that I plan to remove from the Department. None of these documents contain national security information or other information afforded protection under various statutes or regulations, such as privacy act information or trade secrets; related to any pending or contemplated civil, criminal, or administrative proceeding or other program activity where their release could prejudice the matter, if removed, would hinder the efficient continued functioning of an office or my successor; if removed, would diminish the records or other documentary information needed for the official business of the Department; if removed, would violate the confidentiality of any interest protected by law, such as national security, privacy, trade secrets; if removed, would exceed normal administrative economies (i.e., impose an unreasonable cost or burden created by copying or removing the materials from the building); or if removed, would unnecessarily expose, or risk exposing, to the public any internal deliberations, opinions, legal or policy advice, law enforcement materials, or other professional work-product of any office or employee of the Department. In addition, I understand that I must obtain clearance from the appropriate official possessing authority under Section 4 of DAO 205-12 before I will be permitted to remove any documents that would not normally be released to a third party under the Freedom of Information Act.

Departing /Exiting Employee's Responsibilities:

All agency/bureau records may not be removed from the agency/bureau to repurpose the records without a proper and explicit approval in writing.

1. No departing employee or contractor shall remove any materials which contain classified security information or other information of a confidential nature.
2. No departing employee or contractor shall remove records relating to any pending or contemplated civil, criminal, or administrative proceeding or other program activity when the information, if released, would impair or prejudice the outcome of the proceeding or Government policy determinations, decisions, or other actions.
3. Prior to separation, the departing employee or contractors must make a request in writing for records removal to Agency Records Officer /Bureau Records Management Officer (ARO/BRMO) or their designee at least ten days before the last working day.
4. Agency Records Officer/Bureau Records Management Officer (ARO/BRMO) must review the nature of requested records in consultation with the Office of General Council and the applicable program manager and make a formal determination in writing. Only upon the removal approval, the requesting staff may remove a duplicate of the records.
5. If the request or the decision is not made in a timely manner, the requestor must not have a copy, but the person has the full rights to make a FOIA request for the document after separation.

Departing officers or employees may not remove non-record materials (including collected reference publications, extra copies, working papers, drafts, and the like maintained in connection with the official business of the Department) or personal papers of an unofficial nature (such as office diaries, logs, or personal correspondence), if their removal would:

1. Impose substantial handicaps on the efficient, continued functioning of an office or of the successors of an officer or employee,
2. Diminish the records or other documentary information needed for the official business of the Department,
3. Violate the confidentiality required by national security, privacy, or other interests protected by law, of
4. Exceed normal administrative economies.

Note: Supervisor maintains a copy of departing employees signed /approved Appendix A Records Management Entrance/ In-processing Checklist and Appendix B Records Management Exit Out-processing Checklists.

SIGNATURE

DATE

SECTION IV. SUPERVISOR CERTIFICATION

The supervisor's failure to comply with the requirements of CD-126, Separation Clearance Certificate and/or the policies as stated in DAO 202-299, Clearance of Employee Accountability, may result in disciplinary action.

- ☐ I certify that the employee has personally cleared each office as indicated in Section II of this form as well as any other office identified in the supplemental clearance procedures.
- ☐ Employee has not cleared as indicated above and I have not certified the employee's time and attendance record.
(Note: Supervisor must notify the HR Servicing HR office to initiate debt collection).

SIGNATURE (Print Name and Sign)

DATE

SECTION V. SERVICING HR OFFICE (Check appropriate response)

I acknowledged receipt of the CD-126. This form ☐ was ☐ was not completed in its entirety. Action will be taken to collect the debt.

SIGNATURE (Print Name and Sign)

DATE

DOC Records Management Employee Checklist And In/Out-Processing Attestation

DOC Records Management Employee Checklist

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4. Exceed normal administrative economies.

Note: *** Ensure that your Appendix A and B has been dated and signed by you, your supervisor, and Agency Records Officer/Bureau Records Management Officer (ARO/BRMO), Records Liaison Officer (RLO), Records Custodians/Specialist (RC/S), and that it is included with your out-processing checklist and electronically maintained. ***

**DOC Records Management Employee Checklist
And In/Out-Processing Attestation**

APPENDIX A

Records Management Entrance/ In-processing Checklist

This checklist describes important records management responsibilities you should understand as you begin Federal service. As a reminder, agency business should be performed on agency systems and accounts. Personal accounts should only be used in exceptional circumstances and not as a routine practice. More information about your responsibilities and the definitions of records management terms. Please contact your Bureau Records Management Officer (BRMO) for all responses below that are NO or NA.

| # | Questions | Yes | No |
|---|--|-----|----|
| 1 | Have you completed your agency's/bureau's records management training? If not, when will it be completed MM/DD/YYYY | | |
| 2 | Are you aware of the types of records you will likely create or work with and the length of time they must be kept? Please contact your Bureau Records Management Officer (BRMO). | | |
| 3 | Do you know how to properly maintain and store Federal records you create, including in electronic and analog formats? Specifically, do you know where to save your records? | | |
| 4 | You should not mix personal materials and agency/bureau business records together. Have you set up procedures for maintaining personal materials separately from agency work? | | |
| 5 | Are you aware of the agency/bureau policies and NARA requirements related to the use of personal email accounts to conduct official business? | | |
| 6 | Are you aware of your agency's//bureau's policies if you want to use a new software, tool, or service to conduct agency business? | | |
| 7 | Are you aware of the requirements to cc or forward any Federal record created or received in personal email or electronic messaging accounts to your official account within 20 days? | | |
| 8 | If you are using a non-agency provided device (including a computer or mobile phone) for work, are the information and records you create captured in agency/bureau accounts or systems? | | |
| 9 | If your agency provides you a mobile device, do you know how to ensure records created using the device are captured in record keeping systems? | | |

**DOC Records Management Employee Checklist
And In/Out-Processing Attestation**

| # | Questions | Yes | No |
|----|--|-----|----|
| 10 | Do you know who to contact with questions about managing your records and information? | | |

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Supervisor signature block

Records Management Official signature block

**DOC Records Management Employee Checklist
And In/Out-Processing Attestation**

APPENDIX B

Records Management Exit/Out-processing Checklist

This checklist describes tasks you should complete to ensure your records are properly managed as you leave Federal service. More information about your responsibilities and the definitions of records management terms. ***Make sure that you check in and out-process with your Bureau Records Management Officer (BRMO) or RM designee. ***

| # | Questions | Yes | No | N/A |
|---|--|-----|----|-----|
| 1 | Have you ensured that all records are captured in official recordkeeping systems and available to agency/bureau staff after you leave? Note, depending on the length of service at your agency, it may take several business days to properly identify and capture all paper and electronic records found at your office or telework location and on shared drives, cloud networks, and agency-provided or personal devices. | | | |
| 2 | Have you arranged for an exit interview with your agency's/bureau's records management staff or designated official? | | | |
| 3 | Can all password protected or encrypted accounts, systems, and files be accessed after your departure? | | | |
| 4 | Have you returned all records checked out to you to the appropriate Bureau Records Management Officer (BRMO) or storage facility (either a NARA Federal Records Center, an agency records center, or an approved third-party storage provider)? | | | |
| 5 | Have you turned over all information requests for which you were responsible, for example FOIA requests? | | | |
| 6 | Have you identified and preserved records in your care relating to audits or Congressional inquiries? | | | |
| 7 | Have you identified and notified your agency's legal staff of all records in your care relating to litigation holds? | | | |
| 8 | Have you ensured that all sensitive personally identifiable information, protected health information, FOIA-restricted, and classified information is still under agency control? | | | |

**DOC Records Management Employee Checklist
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| # | Questions | Yes | No | N/A |
|----|---|-----|----|-----|
| 9 | Do you understand that Federal records may not be removed from Government custody, nor may they be destroyed without a record(s) Disposition schedule that has been approved by the Archivist of the United States? Penalties may be enforced for the unlawful removal or destruction of records. The maximum penalty for the willful and unlawful destruction, damage, or alienation of Federal records is three years in prison (18 USC 2071) | | | |
| 10 | Has an official at your agency/bureau reviewed all personal material, non-record, and copies of record material (both in digital and paper format) you wish to remove to ensure no sensitive information or records are leaving the agency? | | | |

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Supervisor signature block

Records management official signature block