



**THOMAS JEFFERSON
NATIONAL ACCELERATOR FACILITY**

SITE-SPECIFIC RECORDS SCHEDULES

**JEFFERSON LABORATORY
RECORDS MANAGEMENT
1998**

These schedules were developed using the results of a site-specific records inventory and schedules developed by a DOE laboratory records manager collaboration. The National Archives and Records Administration General Records Schedule (GRS) and the DOE Records Schedule (DOERS) are used as supplemental references. These site-specific schedules will undergo periodic additions and revisions as the need arises.

Laboratory site-specific schedules are approved by the General Counsel.

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JLAB RECORDS SCHEDULE 1 HUMAN RESOURCES AND SERVICES

Personnel records relate to the supervision and management of laboratory employees. This schedule covers the disposition of official personnel folders of employees and other records relating to personnel. All of the records described in this schedule are authorized for disposal in both hard copy and electronic formats.

<u>DESCRIPTION</u>	<u>DISPOSITION</u>
1. Official Personnel Records	
Official folder for current and separated employees.	Destroy 65 years and 30 days after final separation. (GRS 1b(2)).
A. Performance appraisals (see item 10).	(See the specifics for each category listed elsewhere in this schedule.)
B. Standards of Conduct Notices, including suspensions, recommendation, reference/required (item 10b)	
C. Notification of involuntary separation due to performance, layoff, recommendation/ reference required (item 8a).	**
D. Correspondence on Family Medical Leave Act. Recommendation reference/required (item 8b).	**
2. Human Resources Correspondence Files.	
Correspondence, reports, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule.	Destroy after 3 years. (GRS 1, 3)
3. Employment Files.	
A. Job vacancy file - includes position postings, positions classification list of applicants, interview records, evaluation sheets, recommendation to hire and recruiting authorization.	Destroy after 3 years.
B. Employment applications including resumes	Destroy after 2 years. (GRS 1, 15)
C. Correspondence, reports and other records relating to the general administration and operation of personnel functions, but excluded elsewhere in this schedule.	Destroy after 3 years (GRS 1, 3)
D. Correspondence, including letters and telegrams, offering appointments to potential employees.	(GRS 1, 4)
(1) accepted offers	Destroy when no longer needed.
(2) declined offers	
a. Temporary or excepted appointment.	File with application (see item

- 15)
Destroy immediately.
- b. All others.
4. **Immigration Records.**
- A. Foreign nationals files
- (1) Active
(2) Inactive
- Keep until employee terminates.
Destroy after 3 years, or one year after INS audit.
- B. Correspondence, reports, and other records relating to immigration procedure. Documentation supporting J-visa, immigration status.
- Destroy when superseded or obsolete, or upon separation or transfer of employee. (GRS 1, 10a)
- C. I-9 employment eligibility verification.
- Destroy 3 years after employee separates from service or transfers to another agency. (GRS 1, 10b)
5. **Equal Employment Opportunity Records**
- A. Official Discrimination Complaint Case Files. File containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved by EEOC, or by an U.S. Court.
- Destroy 4 years after resolution of case. (GRS 1, 25a)
- B. EEO Compliance Reports including EEO-1 report and Vets 100 report
- Destroy when 3 years old. (GRS 1, 25d(2))
- C. EEO General Files. General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, etc., any pertinent later legislation.
- Destroy when 3 years old, or when superseded or obsolete, whichever is applicable. (GRS 1, 25g)
- D. Affirmative Action Plans (AAP).
- Destroy after 2 years.
- E Report of OFCCP review of Affirmative Action Programs.
- Destroy 5 years from date of report.
6. **Administrative Support Files**
- A. Administrative and general files, including working files and forms for various projects and procedures, state employees; reports and reviews, quality assurance plans, safety and security procedure.
- Destroy when superseded or no longer needed. (GRS 16, 1)
- B. DOE reports, correspondence, orders, etc.
- Destroy when superseded.
7. **Employee Awards Files.**
- A. General awards records includes recommendations, approved nominations, correspondence, reports, and
- Destroy 2 years after approval or disapproval. (GRS 1, 12a(1))

related program support documentation pertaining to cash and noncash awards such as service awards, incentive awards, merit increases, suggestions, and outstanding performance.

B. Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance. Destroy when 2 years old. (GRS 1, 12c)

8. Personnel Notifications and Services.

A. Case files and records related to adverse actions and performance-based actions, (separations, but no suspension, demotion, furlough) against employees. This file may also include a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; reports, and decisions; reversal of action; and appeal records. Destroy no sooner than 4 years and no later than 7 years after case is closed.**

B. Other individual personnel actions such as promotions, transfers; documentation related to Family Medical Leave, Employee Assistance, and RFP. Destroy after 3 years.

C. Chronological file copies, including fact sheets, maintained in personnel offices. Destroy when 2 years old.

D. All other copies maintained in personnel offices. Destroy when 1 year old.

Note: The laboratory should publish the chosen retention period in the Privacy Act notice for these records, the agency's records disposition manual, and any other issuance dealing with the disposition of these records.

9. Employee Relations Files

A. Documentation of informal issues and complaints. Destroy after 2 years. (GRS 1 25c(2))

B. Documentation of formal complaints. Records relating to grievances raised by employees except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request. Destroy 4 years after case is closed. (GRS 1 25a)

C. Internal discrimination complaints under the Civil Rights Act. Destroy 1 year after case is closed. (GRS 1 25b)

D. Formal complaints under the Whistle Blower Act/Employee Concerns Program. Destroy 1 year after close of case.

E. Investigations prepared for Counsel in anticipation of legal action. Destroy 1 year after close of case.

10. Performance and Conduct Files.

A. Supervisors' Personnel Files: Correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees. Review annually, destroy superseded or obsolete documents or destroy file relating to an employee one year after final personnel action. (GRS 1, 18a)

B. Standards of conduct notices, including suspensions; notification of involuntary separation. (same as above)

11. Employee Performance Appraisal

A. Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected and all related documents. Destroy after 1 year acceptable performance from the date of notice. (GRS 1 23a(1))

B. Performance-related records pertaining to a former employee.

(1) Latest rating of record 3 years old or less, performance plan upon which it is based, and any summary rating. Destroy when 4 years old or when no longer needed. (GRS 1 23a(3b))

(2) All other performance plans and ratings.

C. All other summary performance appraisal records, including performance appraisals, job elements, standards upon which they are based, and other supporting documents. Destroy 4 years after date of appraisal. (GRS 1 23a(4))

12. Personnel Counseling Records.

A. Counseling Files. Reports of interviews, analyses, and related records. Destroy 3 years after termination of counseling. (GRS 1 26a)

B. Alcohol and Drug Abuse Program.

(1) Records created in planning, coordinating, and directing an alcohol and drug abuse program. Destroy when 3 years old. (GRS 1 26b)

(2) Disciplinary actions No sooner than 4 and no later than 7 years**. (GRS 1 30a)

13. Training Records.

EXCLUDING records of formally established schools which train employees in specialized program areas.

A. General file of laboratory-sponsored training and education, excluding record copy of manuals, syllabi, textbooks, and other training aids developed by the Laboratory.

(1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, objectives relating to the establishment and operation of training courses and conferences, individual training plans, job-related off site training. Destroy when 5 years old, or 5 years after completion of a specific program. (GRS 1 29a(1))

(2) EH&S training required for a specific job, or Destroy 75 years after training

organization, plus EH&S orientation and General Employee Radiation Training (GERT) session. (DEARS 1 29.2a(2))

14. **Compensation Files.**

A. Wage survey files. Wage survey reports and data, background documents and correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets). Destroy after completion of second succeeding wage survey. (GRS 1 38)

B. Survey Files. Classification survey reports on various positions prepared by classification specialists, including periodic reports. Destroy when 3 years old or 2 years after regular review. (GRS 1 7c(1))

C. Workforce information system files such as report of contractor employment and subcontractor employment, and other DOE report data. Destroy after 3 years.

D. Position description files.

(1) Standards and guidelines issued and used to classify and evaluate positions within the laboratory. Destroy when superseded or obsolete. (GRS 1 7a(1))

(2) Record copy of position descriptions that include information on: title, series, classification, duties and responsibilities, etc. Destroy 2 years after position is abolished or description is superseded. (GRS 1 7b)

E. Annual salary increase plan request (for DOE) including backup documentation, surveys and analysis, and other background information; the request; the approval; annual salary review; backup documentation; distributions (actual salary increases); request for DOE approval of required cases; and DOE approval correspondence. Destroy after completion of second succeeding plan.

F. Reclassification files. Records relating to the reclassification of an Individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates. Destroy 3 years after the personnel action is completed.

G. SURA employee records. Destroy after 3 years.

H. State programs, etc. Destroy when superseded or obsolete.

I. State employee records. (*State Personnel Office is the office of record*) Destroy after 3 years.

15. **Benefits.**

A. IRS reports Destroy 7 years after the close of the return period.

B. Files on actions, enrollments, etc., for participants in plans such as pensions, workers compensation, COBRA, unemployment, educational assistance, health benefits, life insurance, disability, retirement assistance. Destroy after 7 years.

C. Plan contracts and descriptions. Until superseded.

16. Library and Records Management

A. Interlibrary borrowing and copyright compliance data. Destroy after 3 years.

B. Requisitions/Acquisitions data Destroy after 2 years.

C. Tidewater Consortium Memorandum of Understanding and associated documents. Until superseded or obsolete.

D. Records Management

(1) DOE Orders, directives and guidelines. Until superseded or obsolete.

(2) Records Inventory and Disposition Schedules and associated documents and electronic databases such as Access database, records logs, vital records and emergency management checklist, etc. Until superseded or obsolete.

Note: Publications covered in Research and Development schedules.

17. Staff Services

A. Conferences and special events and associated documentation such as budget and expenses, services, timelines, attendees, and other logistics. Destroy after 3 years.

B. Cafeteria and vending contract, financial reports inspections, sales reports, invoices, etc. Retain for 3 yrs. beyond the life of the contract.

C. Residence facility

(1) Contracts, building expansion policy, floor plans, etc. Retain for 3 yrs. beyond the life of the contract.

(2) Reports, budget, occupancy reports, publications/advertising, etc. Destroy after 5 years.

JLAB RECORDS SCHEDULE 2 BUSINESS SERVICES RECORDS

Business services records, finance ledgers and related documents maintained by the laboratory **show how funds**, appropriated and non-appropriated, **are spent**. Procurement records document the acquisition of goods and non-personal services. Procurement files include the purchase document, specifications, bids, delivery schedules, requisition initiation, invoices, and correspondences. Copies of these documents are also maintained in associated files in Shipping and Receiving.

The General Ledger Accounts summarize the financial status and financial transactions of the laboratory showing the current status of funds available for expenditure, the amounts due and collected for the account of the laboratory, accumulated expenditures and liabilities, and the values of supplies, equipment, and other property in laboratory Custody. General Ledger Accounts are the controls that serve not only as central fiscal records, but also as a primary source of data for top management concerned with laboratory solvency, expenditures, and program costs.

The general ledgers are subdivided into account titles, which are based on programs, projects, costs, and funds. Supporting them are a group of subsidiary ledgers and documents further detailing the information in the general ledgers or serving as posting media to the ledgers themselves. The sources of data that are posted to the ledger files are somewhat diverse, but they fall into two general groups:

- a. Copies of various obligation or expenditure documents, such as vouchers and schedules, which flow through the ledger unit for posting.
- b. Journal vouchers and similar internal control documents created to authorize and convey entries to the general ledger.

Records relating to audits or claims should be retained without regard to the otherwise applicable records retention schedules that would have authorized destruction of the records prior to the time when the audit or claim is finally resolved. A claim is finally resolved: (1) when it is disallowed and the time for appealing the denial or instituting suit on the audit or claim has expired; or (2) when it is allowed and paid or the amount offered in compromise is accepted and

paid; or (3) when the amount found due and owing proves uncollectible because time limits for collecting the indebtedness through legal proceedings or by way of setoff have expired. An audit is considered completed after the Contracting Officer issues final determination and declares the audit closed.

<u>DESCRIPTION OF RECORD</u>	<u>DISPOSITION</u>
All records described in this schedule are authorized for disposal in both hard copy and electronic form.	
1. General Correspondence and Subject Files.	
Correspondence or subject files maintained by Operating units responsible for expenditures, accounting and procurement, pertaining to their Internal operations, and Administration.	Destroy when 2 years old.
2. General Accounting	
A. General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary, closing files and reports and accounts payable payment vouchers and supporting documentation	Destroy 6 years, 3 months after the close of the fiscal year. (GRS 6, 1a)
B. Accounts receivable, bills and supporting documents.	Destroy 4 years after close of fiscal year.
3. Payroll	
A. Individual pay records. (Note: must be stored as paper copy or microfiche only.)	Destroy 56 years after close of fiscal year. (GRS 2, 1)
B. Payroll and DOE check registers; bank statements and deposit tickets.	Destroy 6 years, 3 months after period covered.
C. Individual employee files, containing: withholding authorizations, wage/tax statements; superseded or obsolete, United Way, DCAP, SRA, direct deposit authorizations; levy or garnishment records; payroll change request forms.	Destroy 4 years after or 3 years after employee separates.
D. Time sheets	Destroy after audit or 6 years, whichever is sooner. (GRS 2, 7)
4. Travel	
Commercial transportation vouchers and payment information (travel agency; rental car bills, etc.); travel expense reports, etc.	Destroy 6 years and 3 months after period covered. In cases of disputes destroy 10 years after. (GRS 6, 1a)
5. General Correspondence and Administration Files.	
Correspondence files of operating procurement units concerning internal operation and administration matters.	Destroy when 2 years old. (GRS 3, 2)

6. Acquisitions.

Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment.

A. Procurement or purchase organization copy, and related papers.

(1) Transactions of more than \$25,000 and all construction contracts exceeding \$2,000.

Destroy 6 years and 3 months after final payment.

(2) Transactions of \$25,000 or less and construction contracts under \$2,000.

Destroy 4 years after close of fiscal year (FAR 4.705-3(f))

B. Obligation copy.

Destroy when funds are obligated.

C. Other copies of records described above used by component elements of a procurement office for administrative purposes.

Destroy upon termination or completion.

7. Solicited and Unsolicited Bids and Proposals Files.

A. Successful bids and proposals.

Destroy with related contract case files(see item 6 of this schedule).

B. Solicited and unsolicited unsuccessful bids and proposals.

(1) Relating to small purchases as defined in the Federal Acquisition Regulation, 48 CFR, Part 13.

Destroy 1 year after date of award or final payment, whichever is later.

(2) Relating to transactions above the small purchase limitations in 48 CFR Part 13

(a) When filed separately from contract case files.

Destroy when related contract is completed.

(b) When filed with contract case files

Destroy with related contract case file (see item 6 of this schedule.

(c) Cancelled solicitations files.

(1) Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were cancelled prior to award of a contract. The files include pre-solicitation documentation on the requirement, any offers which were opened prior to the cancellation, documentation on any government action up to the time of cancellation, and evidence of the cancellation.

Destroy 5 years after date of cancellation.

(2) Unopened bids.

Return to bidder.

8. Commercial Goods and Freight Files

The key record is the bill of lading, of which there are copies for consignors, consignees, and the carriers themselves, invoices, and other data which document the transaction.

A. Original vouchers and support documents covering commercial freight charges of settled fiscal accounts, including registers and other control documents.

Destroy after 6 years.

B. Records covering payment for commercial freight charges for services for which: 1) notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved; 2) deduction or collection action has been taken; 3) voucher contains inbound transit shipment(s); 4) parent voucher has print of paid supplemental bill associated; 5) voucher has become involved in litigation; or 6) any other condition that prevents the settling of the account, requiring the voucher to be retained beyond the 6 year retention period, such as detection of overcharge.

Destroy after 10 years

9. Nonpersonal Requisition File.

Requisitions for nonpersonal services, such as duplicating, binding, and other services (excluding records associated with accountable officers' accounts) and including GPO requisitions and invoices.

Destroy 4 years after close of fiscal year in which contract is completed.

10. Telephone Records.

Telephone statements and toll slips.

Destroy 6 years, 3 months after period covered by related account.

11. Contractors' Payroll Files.

Contractors' payrolls (Construction contracts) submitted in accordance with Labor Department regulations, with related certifications, anti-kickback affidavits, and other related papers.

Destroy 4 years after date of completion of contract unless contract performance is subject of enforcement action.

12. Tax Exemption Files.

Tax exemption certificates and related papers.

Destroy 3 years after period covered by related account.

13. Contract Appeals Case Files.

Contract appeals case files arising under the Contracts Dispute Act, consisting of notices of appeal and acknowledgments thereof; correspondence between parties; copies of contracts, plans, specifications, exhibits, change orders, and amendments; transcripts of hearings; documents received from parties concerned; final decisions; and all other related papers.

Destroy 4 years after close of fiscal year (FAR 4.705.3(f)).

14. Contractor's Statement of Contingent or Other Fees.

Contractor's Statement of Contingent or Other Fees, or

Destroy when superseded or

statement in lieu of the form, filed separately from the contract case file and maintained for enforcement or report purposes.

obsolete, or no longer needed, whichever is sooner.

15. Small and Disadvantaged Business Utilization Files.

Correspondence, reports, studies, goal statements, and other records relating to the small and disadvantaged business utilization program, as required by P.L. 95-507.

Destroy 4 years after close of FY in which contract is completed. (FAR 4.705-3 (f)).

JLAB RECORDS SCHEDULE 3 ENVIRONMENTAL, HEALTH, AND SAFETY RECORDS

Records covered by this schedule include the following classes of records: (a) safety management; (b) operational records for health units, fire units, individual case files of employees exposed to hazardous or toxic substances, or radioactivity; and (c) records of DOE-controlled activities reflecting the protection provided to employees, the public, property, and the environment during the conduct of the activity. **The majority of these records are classified as epidemiological records.**

<u>DESCRIPTION OF RECORD</u>	<u>DISPOSITION</u>
1. Safety Management Records	
A. Fatalities, multiple injuries accident reports including annual injury logs and summaries of injuries and illnesses. (29 CFR 1904.8)	Destroy after 5 years.
B. Facility safety program files consisting of reports, statistics, technical data, memoranda, and correspondence relative to traffic and property damage accidents, including records and statistics relative to summaries of industrial injury accidents and illnesses (exclusive of cases involving personal injuries which are retained by the insurance carrier.)	Destroy when 10 years old.
C. Standards, operating guides, and procedures, including revisions and background records which establish or relate to establishing operating practices.	5 years after expiration.
D. Operating plans for specific jobs within the scope of the above-established operating practices; radiation work permits.	Destroy when purpose is served or when 1 year old, whichever is earlier.
E. Changes in ownership: When a facility changes hands the former owner is responsible for maintaining records and filing reports for <u>the year</u> that it owned (29 CFR 1904.11).	New owner must retain such record for 5 years after end of year to which they relate (OSHA).
2. EH&S General Management Files	
A. Occurrence Reporting (ORPS) as defined in DOE order 0 252.1.	Destroy 35 years after separation.

- B. Records of reports of routine safety inspections, including evidence of action taken. Destroy when 1 year old.
- C. Corrective actions database. Tracking of actions related to external reviews and SA/QA objectives. Retain data until 3 years after closure of issue.
- D. Work smart standards

Note: Operating Safety Procedures, Standard Operating Procedures and Temporary Operating Procedures are covered under item 3a and b in this schedule.

3. Fire Unit Records

- A. Alarm, investigation, and incident reports relating to various types of fire alarms and investigations of fires, including source data concerning fires in which fatalities may result or when arson is suspected. Destroy when 10 years old.
- B. Fire extinguisher history records and fire hose records. Destroy 1 year after removal of equipment from service.
- C. Fire extinguisher inspection records showing description of extinguishers, recharging data, and names of inspectors. Destroy when 1 year old.
- D. Fire alarm system tests, radio communications reports on inside and outside fire drills, daily force reports, and building inspections. Destroy when 1 year old.

4. Records on Personnel Exposure to Hazardous and Other Materials

Worksheets, correspondence, logs, reports, etc. prepared in the normal course of business concerning or documenting the examination and exposure of personnel to hazardous concentrations of toxic chemicals and other materials, excluding radionuclides and individual employee files.

- A. Records and investigations establishing the extent of employee exposure to toxic chemicals and materials including industrial hygiene logsheets recording surveys other than radiation and contamination. Destroy when 75 years old or 30 years after separation, whichever is sooner.
 - (1) Surveys indicating no industrial hazard. Destroy when 75 years old.
 - (2) Surveys indicating a potential industrial hazard. Until related facility is dismantled.
- B. Personal Safety System (PSS) records. Standards set forth in the RadCon Manual which include certification procedures and checklists, and related design drawings. Retain for the life of the facility unless updated or revised.
- C. Radiation Detection Instrument Calibration Records relating to the calibration and inspection of instruments used in the detection and recording of radiation, against sources of known radioactive emission or dose rate.
 - (1) History of procedures indicating criteria for selection and methods used, and schedules giving frequency of calibration and maintenance of Destroy when 75 years old or 30 years after closure, whichever is sooner.

radiation detection instruments and equipment, and radiation detection charts used with alarm systems to record radiation in excess of established guides.

(2) Report instrument and equipment distribution, decontamination, performance, inventories, statistical data, physical status, operating condition, and any related data.

Destroy when purpose is served or when 2 years old, whichever is earlier.

5. **Radiation-Contamination Control Program Records**

Records of the process for quantitative description of the exposure of personnel to external radiation and internally deposited radionuclides, including appropriate regulations and procedures used as a basis for the radiation-contamination control program.

A. Personnel Exposure Dose Record concerning or documenting radiation exposure dose to the individual due to alpha, beta, gamma, and neutron radiation as determined by radiation monitors or by estimates based on other radiation dose instruments.

Destroy after 75 years or 30 years after separation of personnel employee.

B. Technical Standards, Operating Safety Procedure, Standard Operating Procedure Temporary Operating Procedure, and Contamination Control Procedures describing the technical and administrative basis for the radiation-contamination protection program.

(1) Historical file of standards, guides, and procedures, including revisions, and background records defining philosophy in development, methods of evaluation, and mode and scope of radiation-contamination protection efforts.

Permanent.

(2) Detail plans for specific jobs performed within the scope of the above procedures and similar records relating to routine daily operations.

Until purpose is served or 1 year, whichever is earlier.

C. Logbooks (chronological history) which provide a concise summary of shift and daily activities, including unusual incidents, radiation and contamination problems, release of radionuclides to work areas or public zones, interpretation of unusual chart recordings, and similar items.

Destroy when 75 years old.

D. Routine Radiation and Contamination Surveys and air sample logs, including resulting laboratory analyses and equipment calibrations, indicating no unusual health or safety problems.

Destroy when 75 years old.

E. Recorder Chart Records of radiation and contamination detected by air activity monitors (gaseous and particulate) and ionization chambers

(1) Records directly applicable to the workplace

Until purpose is served or after 3 months, whichever is earlier.

(2) Other records

F. Reports and Engineering Studies of unusual radiation or contamination problems Destroy when 100 years old.

(Tentative addition)

5. Continued - Accelerator and Experimental Equipment Performance Records

A. Annual report to the US Department of Energy. This is the metric report specified by M&O contract between SURA and DOE and supporting data. Destroy after 15 years

B. Monthly and quarterly reports provided to staff. This includes accelerator utilization reports and reports for accelerator, experiment, and simultaneous availability. Destroy after 15 years

C. Files which support monthly, quarterly, and annual reports. This includes shift reports from all halls, Accelerator BOOM reports, and crew chief summaries. Destroy after 5 years.

6. Individual Employee Health Hazard Case File

Individual employee radiation exposure history file ((both internal and external). Records include those of visitors. Each file provides a record of an individual's exposure, including both negative and positive results, and shall include: Destroy when 75 years old or 30 years after separation

A. Records of skin and nasal contamination incidents, including decontamination details.

B. Incidents involving contaminated injuries, along with decontamination and treatment of such injuries, including tourniquet time records, if used.

C. Results of direct measurement of radiation from the chest, specific organs, or whole body.

D. Investigations of the following types:

(1) Assimilation of radioactive materials in excess of standards and control guides

(2) Missing or unusual data concerning exposure of personnel to radiation

(3) Radiation exposures exceeding quarterly to yearly exposure guides and standards.

E. Records of bioassay data.

(1) Positive laboratory results on bioassay samples (urine, feces, blood) used to determine internal assimilation by an individual of a radionuclide.

(2) Laboratory results indicating no assimilation of radioactive materials.

7. Environmental Management Files

A. Inspections and audits

- (1) Including above ground storage tank monitoring records. Kept for the life of the facility.
- (2) Underground storage tanks and boiler air emissions monitoring records, and spill prevention and control counter measures (SPCC). Destroy after 3 years.

B. Toxic chemical release reporting and discharge and effluent information under the VPDES permit. (SARA section 313; 40 CFR 372.30, 372.60; Code of Va. section 62.1-44.38 C and title 62.1; 40 CFR 403.6, 403.12) Destroy after 3 years.

C. Asbestos abatement records and data that demonstrate that products made from or containing asbestos are not capable of releasing fibers in concentrations at or above the action level. (15 USC.2606, 40CFR 763.121, 763.781) Until no longer needed.

D. Administrative support files and office management correspondence, memos, report drafts, etc. Destroy after 2 years.

8. **Environmental Contamination Measurement Records**

Records indicating the presence and amount of contaminating materials (including radioactive materials) in samples of air, water, earth, biological (animal and vegetation) and special materials from onsite and offsite locations.

A. Procedures that detail the methods used and frequency of analysis of wastewater, air and water samples. Includes records or correspondence which give the philosophy and scope of sampling, provide interpretations of results, and detail the plans for sampling and analysis of environmental samples.

- (1) General procedures Permanent or until superceded
- (2) Report of specific procedures Destroy when analytical results are verified, accepted, and summarized, or when 5 years old, whichever is earlier.

B. Data gathered to measure residual contamination of soil and ground water with long-lived radioactive or toxic substances at or the site and environmental monitoring reports and topical reports defining the extent and levels of radioactive contamination in soil or real estate. Permanent.

C. Release notification of certain substances into the environment with required documentation and recordkeeping under CERCLA, EPCRA, RCRA, CleanWater Act, SPCC, or Clear Air Act. Includes tracking records for Hazardous Air Pollutants (HAPS) Destroy after 5 years.

guidelines, and National Emission Standards for Hazardous Air Pollutants (NESHAPs) (40 CFR 372.10,22,25,45, and 88; 40 CFR 61.93, 94,95)

9. **Radioactive Waste, Hazardous and Non-Hazardous Materials Records** Permanent.
- A. Regulations governing radioactive waste shipments and burials, including DOE orders, Federal regulations and guidelines, and other pertinent standards, guides, and procedures
- B. Records which indicate type of waste (solid, liquid, or gaseous), degree of radioactivity; and for solid waste, date of burial, volume buried, activity level, and storage location. Permanent.
- C. Emergency and hazardous materials inventory (may include approved MSDS). Destroy after 30 years.
- D. Miscellaneous waste and non-hazardous waste disposal records including transfer boilloff rates, waste generators, test results; waste analysis records; refrigerate recycling; pretreatment sampling records, monitoring activities and results. Destroy after 3 years.
- E. Radiation counter control data used to maintain correct operating conditions for radiation detection instruments and instruments and procedures used to determine and list the operating condition of radiation counters check accuracy of radiation counters against the known calibration standards published by the U.S. Bureau of Standards. Destroy when 1 year old.
10. **Hazardous Materials Transportation** Destroy 30 years after Certificate of Compliance, Safety Analysis Reports for Packaging (SARP), evaluations of SARPs, licenses, amendments to licenses, and quality assurance records documenting packaging design, fabrication, maintenance, and use in compliance with established safety and engineering standards. Certificate of Compliance has terminated unless renewal.
11. **Medical, First Aid, and Injury Files**
- A. Medical monitoring, physical, medical complaints files; and related medical and investigatory documentation relating to on-the-job injuries, whether or not a claim for compensation was made, workers compensation. Destroy 30 years after separation.
- B. Equipment calibrations for hearing conservation, pulmonary function, external automatic defibrillator, etc. Destroy after 30 years
- C. Chest x-rays Destroy 30 years after separation.

- D. Medical waste tracking. Destroy after 3 years.
- E. Administrative support files, list of hires, CHUBB reports, BEAMS patient folders, reports, process files, etc. Destroy after 2 years.

12. Workplace Drug Testing Program Files.

A. Drug testing program records; consolidated statistical and narrative reports concerning the operation of the laboratory program; drug test plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions. Destroy when 3 years old or when superceded or obsolete, or no longer needed.

B. Employee acknowledgment of notice forms: Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested. Destroy when employee separates from test-designated position.

C. Selection/scheduling records: Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists of persons selected, notification, letters, and testing schedules. Destroy when 3 years old.

D. Records relating to the collection and handling of specimens. Records containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected. Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen. Destroy when 3 years old.

E. Test results. Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.

- (1) Positive results. Disposition not authorized
- (2) Negative results. Destroy when 3 years old.

Note: (1) Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by JLAB 1, item 10b, which authorizes destruction of records between 4 and 7 years after the case is closed. (2) Any records relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s).]

13. Insurance, Risk Management

- A. Workers compensation claims files. Destroy 30 years after separation.
- B. Property insurance documents, motor vehicle claim files, and miscellaneous liability insurance documents. 10 year review.

14. **Motor Vehicle Operation**

- | | |
|-----------------------------------|---|
| A. Motor vehicle reports files. | Destroy after 3 years. |
| B. Motor vehicle accident files. | Destroy 6 months after case closes. |
| C. Motor vehicle operation files. | Destroy 3 years after separation of employee or 3 years after authorization to operate. |

(Tentative addition)

15. **Emergency Management Files**

- | | |
|--|------------------------|
| A. Correspondence with the US Department of Energy | Destroy after 10 years |
| B. Records of Emergency Management reviews | Destroy after 10 years |
| C. Records of actual emergencies | Destroy after 10 years |
| D. Records of Emergency Management exercises | Destroy after 10 years |
| E. Records of building evacuation drills | Destroy after 3 years |
| F. Records of corrective actions | Destroy after 5 years |
| G. Records of interaction with local/state governments | Destroy after 10 years |

JLAB RECORDS SCHEDULE 4 DESIGN, CONSTRUCTION, FACILITY AND SECURITY RECORDS

This schedule applies to those records accumulated by the laboratory in the management, maintenance, and general upkeep of facilities such as buildings, structures, plants, laboratories, utilities, and grounds, including design and construction drawings and related records. This schedule includes records documenting maintenance and repair of fixture-type equipment such as boilers, heating and ventilating systems, and equipment requiring the use of design and construction drawings to make repairs. All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records.

<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
<p>1. Facility Inventory Records Files accumulated by contractors acting as agents for DOE in connection with the execution of leases for the operation of commercial or other facilities, or other uses of property under lease.</p>	
A. Inventory lists	Destroy 6 years after close of fiscal year in which inventory superseded.
<p>2. Facility Maintenance Records Includes inspection, servicing, and repair records</p>	
A. Boilers inspections, electric motors, and unfired pressure vessels	Retain for the life of the equipment.
B. Others	Destroy 3 years after year work is done
<p>3. Facility Management Records</p>	
A. Utility plant operational source records, including checklists, LCW systems operations, electronic logs, inspection sheets, and other forms and records used to record the procedural steps followed by the operators; and instrument recorder charts, tapes, and graphs reflecting source data recorded in connection with the operation of various power and utility equipment.	Until no longer needed.
B. Utilities consumption.	After 10 years
(1) Meter data for HRSD (2) Groundwater data for Virginia Department of Environmental Quality	
C. DOE quarterly maintenance report	Destroy after 3 years
D. Motor vehicle files (operating and maintenance).	Destroy after 3 years.
<p>4. Design and Construction Drawings This portion provides guidelines for the disposition of design</p>	

and construction drawings and related records that have been created or received by the laboratory. This includes conceptual as well as precise measured information essential for the planning, design and construction of facilities such as building, structures, plants, utilities, and other public works projects, as well as miscellaneous engineering and fabrication projects such as machinery and equipment. Related records include engineering studies, design calculations, project performance documentation, indexes, specifications, and three-dimensional models.

- | | |
|---|---|
| A. Engineering and design drawings. | Permanent. |
| B. Other Documents and Information. Information, correspondence, and other records developed during the planning and design phases, essential to the performance of the processes but not essential for project record purposes following project completion. | Permanent |
| C. "As Built" Drawings. Annotated copies of final working drawings or additional drawings that show changes in the construction from the original design. | Permanent. |
| D. Shop Drawings. Detailed drawings prepared by construction contractors or subcontractors of particular part or the building which they are to supply or by manufacturers of products to be fabricated or assembled in their shops; work, such as elevators, or heating ventilating, and air-conditioning systems. | Until obsolete. |
| E. Repair and Alteration Drawings. | Until obsolete. |
| F. Reports and other Documentation. Progress reports, construction completion reports, equipment specifications, operating and maintenance instructions (manuals), warranty data, final inspection and acceptance reports, and other information documenting the construction process. | Until obsolete. |
| G. Subcontractor records. | Until dismantled. Permanent. |
|
5. Project Planning and Design Files | |
| A. Master drawings. Mylar copies stored in the document control room. (Microfilm aperture cards created for each drawing; one copy of each in separate building in fireproof vault) | Retain until dismantled or disposal of facility, equipment system or process; or when superceded or obsolete. |
| B. Specifications and Engineering change orders. | (Same as above) |
| C. Design drawing document manual. | Destroy when no longer needed. |
| D. Document Control Database (Microsoft Excel software). | Delete information in the database when no longer needed. |

E. Records selected for architectural, historical, and technological significance. Permanent.

F. Other Planning and Design Records (Advanced planning, preliminary and final design, and engineering/design studies, calculations, analyses, and other engineering/design data documenting design decisions made.) Permanent.

G. Miscellaneous planning and design records and construction records, information and correspondence, essential to performance of the processes but not essential for project record purposes (such as interim progress reports, preliminary drawings and specifications, and other in-process documentation or information). Until project completion or termination, whichever is earlier.

H. Photographs, diagrams, etc of completed project. Permanent.

6. Quality Assurance Records

A. Records prepared, received and maintained in conjunction with the design, manufacture, construction, installation, test, and operation of equipment, structures, plants, and systems. (Reference for nuclear facilities: ANSI/ASM NQA-1-1986 Edition) Until the item is removed from service.

B. Records maintained in compliance with regulatory requirements. Retain in accordance with current regulatory requirements or for nuclear facilities 6 years after plant or item is put into operation.

7. Administrative Support Files

A. Administrative and general files, including working files and forms for various projects and procedures, meeting minutes, reports, reviews, plans, briefing books, etc. Destroy when superseded or no longer needed.

8. Site Security

A. Files relating to the administration and operation of the facility security services, including investigative files, guard logs, rounds, authorizations and post assignments. Destroy after 2 years.

B. Reports of surveys and inspections, records of detainments, outside police contact, security violation. Destroy after 3 years.

Explanatory note for files containing Historical or Archival value.

Technological Significance.

This includes files for such projects as first-of-a-kind energy research, development, or demonstration projects of other unique building or facility projects. Since this is a broad category

that covers many different types of technical facilities, specific details have not yet been attempted. However, permanent records relating to these objects can be chosen more selectively than records relating to buildings. In general, files which show how the project was designed, constructed, and altered, should be retained for a selection of the most unique structures and for a representative sample of repetitive and similar structures.

JLAB RECORDS SCHEDULES 5

PROJECT COST, INVENTORY, AND SHIPPING AND RECEIVING

This schedule covers records that document the movement of goods under Laboratory orders. These records include project costs, property and inventory, shipping and receiving files, and all supporting documentation. All records described in this schedule are authorized for disposal in both hard copy and electronic forms.

<u>DESCRIPTION OF RECORD</u>	<u>DISPOSITION</u>
<p>1. Lost or Damaged Shipment Files Schedules of valuables shipped, correspondence, reports, and other records.</p>	<p>Destroy after 6 years.</p>
<p>2. General Shipping and Receiving Record Shipping and receiving records including correspondence forms, and related records pertaining to commercial transportation, and freight functions, not covered elsewhere in this schedule.</p>	<p>Destroy after 3 years after entries are clear.</p>
<p>3. Mail</p> <p style="margin-left: 20px;">A. Bulk mailing charge backs</p> <p style="margin-left: 20px;">B. Fiscal year costs</p>	<p>Destroy after 2 years.</p>
<p>4. Stock and Supply</p> <p style="margin-left: 20px;">A. Supply requisitions and packing slips</p> <p style="margin-left: 40px;">1) Procurement cost of \$25,000 or more</p> <p style="margin-left: 40px;">2) Less than \$25,000 cost</p> <p style="margin-left: 20px;">B. Stock withdrawal authorization</p> <p style="margin-left: 40px;">1) Signed authorization forms</p> <p style="margin-left: 40px;">2) Electronic records of authorization</p> <p style="margin-left: 20px;">C. Stock-withdrawals records both in-house orders and delivered requests.</p> <p style="margin-left: 20px;">D. Property movement transfer authorization</p>	<p>Destroy after 6 years</p> <p>Destroy after 3 years.</p> <p>Until superseded or obsolete.</p> <p>Until superseded or obsolete.</p> <p>Destroy after 1 year.</p> <p>Until superseded or obsolete.</p>
<p>5. Accounting and Inventory Records Property, plant, project management, and cost accounting records may be maintained in a laboratory setting where there is extensive plant and stock inventories. These records reflect the net monetary worth of the laboratory and its assets, and are periodically reconciled with the supply data found in stock inventory records. They do not include procurement papers.</p> <p style="margin-left: 20px;">A. Real property</p> <p style="margin-left: 20px;">B. Capital acquisitions valued at 5K or greater</p>	<p>Permanent.</p> <p>Destroy 3 years after disposition.</p>

C. Administrative property

These records are maintained to provide personal accountability for the receipt and custody of materials and to document the monetary worth of such materials.

- (1) Personal property and inventory files Destroy 3 years after disposition.
- (2) Disposition files
- (3) Excess property acquisition/disposition

D. Lease/loan equipment files Destroy 3 months after expiration.

E. Plant and project management accounting

These records document principal characteristics of each item of physical plant and equipment. They constitute primarily a type of inventory control, but in addition are a principal source of data on the capital investment in physical plant (as distinguished from maintenance or operating costs). Summary data on plant value are also maintained. Destroy 3 years after item is withdrawn

F. Cost accounting

These records are designed to show accumulated data on the costs of laboratory operation, the direct and indirect costs of production, administration, and the performance of program functions of the laboratory. The data, which are normally accumulated by means of costs reports and statistics accumulated by operating personnel, are ultimately integrated into the accounts concerned with operating and program costs. Cost data are used in evaluating economy of laboratory operations and in preparing budget estimates. Destroy after 6 years.

6. **Cost Report Data**

A. Yearly budget submission to DOE and the Commonwealth of Virginia. Destroy 6 years after close of fiscal year.

B. Cost Books (Semiannual Review) Destroy after 3 years.

C. Performance measurement reports. Destroy 1 year after the year in which the project closed.

D. Ledgers, forms, and electronic records used to accumulate data for use in cost reports. Destroy after 3 years.

7. **Administrative Support Files.** Destroy after 3 years

A. Correspondence, meeting minutes, briefings, QAs, reference materials, graphics, etc. or when no longer needed.

B. Automated records Destroy after 6 mos.

C. Tabulations Destroy after 1 year.

JLAB RECORDS SCHEDULE 6 RESEARCH & DEVELOPMENT PROJECT RECORDS

This section identifies two methods for organizing and maintaining R&D project records: 1) **project case file** and, 2) **individual records series**. Project case files and individual record series provide a reasonable record of a research and development projects from start to finish which would allow another person to reconstruct and/or verify the procedures and analyses relevant to a given project. A project case file includes a. **project management records** (items A-D) and b. **project technical records** (items A-E).

<u>DESCRIPTION</u>	<u>DISPOSITION</u>
1. Project Case Files-Project Management Records:	
A. Administrative records that include correspondence relating to project justification, staffing, initiation or execution; project management plans, records management plans; and periodic status reports.	Destroy after 25 years.
B. Financial documents including budgets, cost runs, work breakdown structure and travel expenditures. (also GRS 5.2)	Destroy when 5 years old.
C. Funded proposals, sponsor contracts, sub-contracts, contract specifications, statements of work, letter of instruction, modifications, related service agreements and accompanying instructions and technical procedures and study protocols; procurement specifications and purchase orders; and any subsequent revisions. (ref. 41 CFR 1-20)	Destroy after completion of contract.
D. Quality assurance documents include, but are not limited to quality assurance plans, and related reports of QA audits, project assessments, non conformance and corrective action reports, deficiency reports, and certificates of conformance.	Destroy when 6 years old.
2. Project Case Files - Project Technical Records:	
A. Reports of inventions, disclosures/patents and copyrights. (see also Legal in JLab Schedule 4)	Permanent.
B. Design documentation including experimental set up, schematics, flow charts and logs, test controls and instructions, test records and certifications, measuring and test equipment control listings, calibration records, operation and maintenance manuals.	Permanent.
C. Basic data sheets and logs	Destroy when 3 years after completion of project.
D. Computer code documentation and software requirements, including benchmark test/data results.	Destroy in 10 years or if no longer needed, which ever is sooner.
E. Technical documents including: technical papers,	

significant technical correspondence, engineering plans and drawings, manuals, preliminary and final reports, photographs and negatives related to the project; references or indexes to related electronic records and data, test schedules, notes and working papers, specifications, draft and final approved standards, preliminary and final research data, statistical analyses, tables, charts, graphs, analyses of scientific or engineering data, and other records accumulated documenting the progress and completion of R&D projects.

- (1) R&D project case files that support a major contribution to research, science, and science policy on a national or international level. Permanent.
- (2) R&D project case files that support a significant change to a policy or an organization; or lead to the development of a "first of its kind" process or product; or significantly improved an existing process, product, or application. Destroy when 25 years old.
- (3) R&D project case files that support an improved process, product or application; or created a basis for research at a higher level. Destroy when 10 years old.

**(Cut off a., b. and c. files at project completion, termination, or in 5 year blocks, whichever comes first. Retire to storage 2 years after termination of project.)*

3. R&D Source Data Files

These records include raw data in various media (computer printouts, magnetic tapes, videotapes, photographs, or comparable media) used to collect and assemble data of a preliminary or intermediate character generated from such processes as experiments or observations used for reference in arriving at determinations in the conduct of research projects or determined to have probable value for secondary evaluations or future experiments. This record also includes evaluated data resulting from study of raw data including memoranda, graphs, tabulations, reports, log books, and related papers

- A. R&D project records that support a major contribution to research, science, and science policy on a national or international level. Permanent.
- B. R&D project records that support a significant change to a policy or an organization; or lead to the development of a "first of its kind" process or product; or significantly improved an existing process, product, or application. Destroy when 25 years old.
- C. R&D project records that support an improved process, product or application; or created a basis for research at a higher level. Destroy when 10 years old

**(Cut off a., b. and c. files at project completion, cancellation or termination, or in 5 year blocks, whichever comes first. Retire to storage 2 years after termination of project)*

4. R & D Laboratory Notebooks and Operational Logbooks.

These records are controlled notebooks issued to researchers

specifically to document research results. These notebooks contain technical and scientific data accumulated from the conduct of research and development and are often not duplicated in technical reports or project case files. These notebooks frequently contain data essential in establishing patent or invention rights

A. R&D project records that support a major contribution to research, science, and science policy on a national or international level. Permanent

B. R&D project records that support a significant change to policy or an organization; or lead to the development of a "first of its kind" process or product; or significantly improved existing process, product, or application. Destroy when 25 years old.

C. R&D project records that support an improved process, product or application; or created a basis for research at a higher level. Destroy when 10 years old

**(Cut off a., b. and c. files at project completion, cancellation or termination, or in 5 year blocks, whichever comes first. Retire to storage 2 years after termination of project*

5. **R& D Technical Progress Reports**

These reports are submitted by laboratories or other project offices to show the initiation and degree of completion of projects, and consolidated reports prepared there from.

A. R&D project records that support a major contribution to research, science, and science policy on a national or international level. Permanent

B. R& D project records that support a significant change to a policy or an organization; or lead to the development of a "first of its kind" process or product; or significantly improved an existing process, product, or application. Destroy when 25 years old.

C. R& D project records that support an improved process, product or application; or created a basis for research at a higher level. Destroy when 10 years old

**(Cut off a., b. and c. files at project completion, cancellation or termination, or in 5 year blocks, whichever comes first. Retire to storage 2 years after termination of project*

JLAB RECORDS SCHEDULE 7

RESEARCH & DEVELOPMENT PROGRAM MANAGEMENT RECORDS

Research & development program management records document the basis for research and development program management, decisions, direction, policies and responsibilities. A program is an organized group of projects that may be related by a single theme and may be funded by a single client or group of clients with related requirements. Projects making up a program normally involve different technology disciplines and are conducted by several organizations. The program records identified in this section include (but are not limited to) on-line tracking systems of R & D reports, R & D program administrative records, proposal records, documents related to the planning and status of research projects within a program, and R&D Technical committee and board records.

DESCRIPTION OF RECORD

DISPOSITION

1 Tracking Systems of Laboratory R& D Reports

Includes online data and databases providing access to R&D project reports and accompanying user manuals, file documentation of input, output, and internal data structure; indexes and bibliographies of laboratory R&D reports.

Permanent. Cut off after completion or termination of program, or in 5-year blocks, whichever comes first. Retire to storage 2 years after cut off.

A. R& D program records that support a major contribution to research, science, and science policy on a national or international level.

Destroy when 25 years old. Cut off at completion or termination of program, or in 5-year blocks, whichever comes first. Retire to storage 2 years after cut off.

B. R& D program records that support a significant change to a policy or an organization; or lead to the development of a "first of its kind" process or product; or significantly improved an existing process, product, or application.

Destroy when 25 years old. Cut off at completion or termination of program, or in 5-year blocks.

C. R& D program records that support an improved process, product or application; or created a basis for research at a higher level.

Destroy when 10 years old. Cut off at completion or termination of program, or in 5-year blocks, whichever comes first. Retire to storage 2 years after cut off.

2. R&D Administrative Files

Documents include studies, implementation, funded and unfunded proposals, contractual-agreements, prime contracts and modifications; scope indication, schedule or budget and changes to same; documents related to execution, review and analysis of R& D; records of deliverables and cancellation or termination. Records pertaining to the exploration of the feasibility of unsolicited proposals for projects received from individuals.

A. R& D program records that support a major contribution to research, science, and science policy on a national or international level.

Permanent. Cut off after completion or termination of program, or in 5-year blocks, whichever comes first.

B. R& D program records that support a significant change to a policy or an organization; or lead to the development of a "first of its kind"; process or product; or significantly improved an existing

Destroy when 25 years old. Cut off at completion or termination of program, or in 5-year blocks,

process, product, or application.

whichever comes first. Retire to storage after 2 years after cut off.

C. R&D program records that support an improved process, product or application; or created a basis for research at a higher level.

Destroy when 10 years old. Cut off at completion or termination of program, or in 5-year blocks, whichever comes first. Retire to storage after cut off.

D. R&D program unfunded proposals

Destroy when 5 years old.

3. **R&D Planning Records**

These relate to planning and status research programs such as program management plans, minutes of staff meetings related to policy matters, substantive conference records and other correspondence. Includes policy, procedures and plans, and formal directives.

A. R & D program records that support a major contribution to research, science, and science policy on a national or International level.

Permanent. Cut off after completion or termination of program, or in 5-year blocks, whichever comes first. Retire to storage after cut off.

B. R& D program records that support a significant change to a policy or an organization; or lead to the development of a "first of its kind" process or product; or significantly improved an existing process, product, or application.

Destroy when 25 years old. Cut off at completion or termination of program, or in 5-year blocks, whichever comes first. Retire to storage 2-years after cut off.

C. R&D program records that support an improved process, product or application; or created a basis for research at a higher level.

Destroy when 10 years old. Cut off at completion or termination of program, whichever comes first. Retire to storage 2-years after cut off.

4. **R & D Technical Committee and Board Records**

Official records of committees, panels, boards, task forces, etc. Deliberations of such committees result in creation, elimination, or change in regulations, guidelines, or rules and are established to provide advice, recommendations, or information to the research program or specific research projects. This record includes agendas, directives, minutes of meetings, and reports covering general operations and policy decision of the committee or board.

A. R&D program records that support a major contribution to research, science, and science policy on a national or international level.

Permanent. Cut off after completion or termination of program, whichever comes first. Retire to storage 2-years after cut off.

B. R&D program records that support a significant change to a policy or an organization; or lead to the development of a "first of its kind" process or product; or significantly improved an existing process, product, or application.

Destroy when 25 years old. Cut off at completion or termination of program, or in 5-year blocks, whichever comes first. Retire to storage 2 years after cut off.

C. R&D program records that support an improved process, product or application; or created a basis for research at a higher level. Destroy when 10 years old. Cut off at completion or termination of program, or in 5-year blocks, whichever comes first. Retire to storage after 2 years after cut off.

JLAB RECORDS SCHEDULE 8 LABORATORY R&D MANAGEMENT AND POLICY

R & D Management and Policy records document policy and procedures implemented to ensure efficient management of research activities and accountability for assignment and application of research resources.

<u>DESCRIPTION</u>	<u>DISPOSITION</u>
<p>1. Visiting Scientists Records Records of visitors to research facilities or programs</p>	
A. Those associated with significant scientists or projects	Permanent
B. Those for other project	Destroy when 15 years old
<p>2. User Research Facility Records Proposals and correspondence related to experiments carried out at designated user facilities. These records reflect utilization of the laboratory facilities by university and industry researchers and are an important record of one aspect of the Laboratory technology transfer efforts.</p>	
A. Those associated with highly significant or unique projects	Permanent
B. Those for all other projects	Destroy when 10 years old
<p>3. Published and Unpublished Scientific and Technical Reports Reports of research by laboratory staff or visiting scientist and users as a professional papers, preprints, reports, technical notes, etc.</p>	Permanent
<p>4. Scientists' Files Official files of individuals who have made major contributions to science or scientific policy at the national or international level.</p>	Permanent
<p>5. Conference and Meeting Records Published proceedings and related correspondence or information</p>	
A. Those associated with highly significant or unique conference	Permanent
B. Those for all other events	Destroy after 15 years.
<p>6. R&D Public Relations Includes newspaper clippings, press releases, photographs, AV, etc.</p>	
A. Those having historical value, or associated with highly significant or unique events.	Permanent

- B. All others having no historical value Destroy after 15 years.
- 7. **Memorandums of Understanding**
 - A. Those associated with highly significant programs Permanent
 - B. All others having no historical Destroy 5 years after termination of agreement.

**JLAB RECORDS SCHEDULE 9
COLLABORATIONS AND TECHNOLOGY TRANSFER**

Collaborative Research & Development efforts are defined as groups of scientists from a number of institutions, both domestic and foreign, that join together to design and construct apparatus and software, collect and analyze data, and publish results. These records include, but are not limited to correspondence, meetings minutes, analytical data, scientific reports, agreements, and notice of appointment.

<u>DESCRIPTION</u>	<u>DISPOSITION</u>
1. Correspondence is communication between scientists at various institutions relative to the research project in the form of letters, memorandum and e-mail.	Destroy when 5 years old. Cut off at completion or termination of collaborative agreement. Retire to storage 2 years after termination.
2. Collaborative Agreement records document arrangements between organizations including legal and financial stipulations.	Destroy when 25 years old. Cut off at completion or termination of collaborative agreement. Retire to storage 2 years after termination.
3. Meeting minutes are an official record of proceedings between collaborator and facility representatives.	Permanent. Cut off file 1 year after project terminates. Retire to storage 3 years after termination of contract.
4. Analytical data is data generated which provides method of proof as to how information was obtained by dividing the information into elemental parts or basic principals for validation of hypotheses by observation or experiment.	Permanent. Cut off files upon termination of project. Hold for 10 years, then retire to storage.
5. Draft Scientific Reports are produced as a result of collaborative efforts. Illustrates the status of the ongoing project prior to publication of final report.	Destroy document 1 year after final report is approved or published.

JLAB RECORDS SCHEDULE 10
LEGAL, AUDITING and ADMINISTRATION RECORDS

Legal records include the files created in the provision of legal services. Legal services protect the legal and financial rights of the laboratory, the Department of Energy, and persons directly affected by the laboratory's activities. Records retention standards in this schedule include patent records and litigation files. This schedule does not apply to cases in action, in negotiation, or under prosecution.

<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
1. REAL PROPERTY files containing leases, land, real estate agreements, deeds, easements, VRP, and other site-related legal papers.	Permanent.
2. INTELLECTUAL PROPERTY files containing:	
A. copy of invention disclosure and pertinent correspondence on inactive cases, abandoned applications, and closed items; U.S. patent application case files containing record of invention, draft of patent application with inventor's notes, copy of patent application as filed in Patent Office, pertinent correspondence, amendments, reports, and references on issued patents domestic and foreign.	Destroy when 30 years old.
B. Issued patents (domestic and foreign)	Destroy when 25 years old
C. Copyright	Destroy when 25 years old
D. Technology Transfer	Permanent
3. PATENT CONTRACTS, subcontracts, and purchase orders containing miscellaneous correspondence and related papers pertaining to negotiation of contract patent provisions, inventions or discoveries conceived under contract, reports and papers reviewed for patent clearance, and patent clearance of terminated contracts on cleared purchase orders, both prime and subcontract.	Destroy when 10 years old.
4. PATENT LICENSING RECORDS containing license agreements and assignments in U.S. patents and pertinent correspondence regarding execution of license agreements and royalty payments.	Destroy 25 after issuance of the patent
5. EMPLOYEE PATENT AGREEMENT FORMS: "Agreement Covering Discoveries, Inventions, and Improvements," signed by all employees at time of employment.	Destroy when 56 years old
6. PATENT INFRINGEMENT files containing copies of patents which have been or possibly might be infringed; pertinent correspondence regarding use of patented process, device, or material; copies of purchase orders and other backup material; Court of Claims petitions and actions.	Destroy 5 years after final action

7. SURA Corporate files contain corporate secretarial correspondence, minutes, registration, etc., related to the conduct of Executive or Trustee Board meetings, actions. Permanent
8. LITIGATION FILES reflecting all aspects of Laboratory litigation proceedings and documenting the General Counsel actions taken in protecting the interest the laboratory, SURA, or the DOE. Records consist of general reports, investigation reports, analyses, recommendations, and copies of contractual records. (Consider epidemiological). Permanent
- A. Cases involving personal injuries alleged to have been caused by radiation. Destroy 75 years after close of case
- B. Other cases Destroy 10 years after close of case.
9. INVENTION DISCLOSURE LOGS AND LEDGERS. Invention disclosures reported, date, disposition, and U.S. Patent Office actions. Destroy 10 years after close of case.
10. CASUALTY INSURANCE (including Workmen's Compensation), plan case files: Case files on casualty insurance coverage plans for the laboratory, including policies, endorsements, reports, correspondence, studies, analyses, actuarial data, and computations. Included is information showing premium adjustments, coverage, funding, billing, and losses incurred. Destroy after 80 years.
11. PENSION PLAN case files consisting of cost-type laboratory pension plans, modifications and amendments; correspondence, reports, studies, and analyses; negotiations; requirements for acceptance and modification; funding and cost data; industry pension plan comparability studies. Destroy after 80 years.
12. ACCOUNTABLE OFFICERS ACCOUNTS RECORDS
- A. Audit reports of the examination and evaluation of the adequacy and effectiveness of the system of management control provided by SURA to direct its activities and operations, including pertinent reports and revisions, concurrences, comments, reports on recommendation actions, pertinent correspondence, and related work papers.
- (1) Files relating to audits of laboratory operations
- (a) Audit program files. Destroy when 10 years old
- (b) Report files and related correspondence Destroy when 10 years old
- (c) Work papers and client audit surveys Destroy when 5 years old
- (d) Strategic plans Destroy when 5 years old
- (2) Audit files generated by laboratory audit staff performing internal audits, including pertinent reports and revisions, thereof: concurrences; comments; Destroy when 10 years old

reports relative to action taken on recommendations, pertinent correspondence; and, related work papers.

- B. Memorandum reports summarizing audit activities, inquiries, together with related correspondence reflecting specific requests for information and records. Destroy when 3 years old.

13. ADMINISTRATION DIVISION office files contain information generated or maintained relative to the conduct of business between SURA, the Department of Energy, The City of Newport News, the state of Virginia, and internal laboratory divisions. These files consist of:

- A. Administrative general files of surveys, reviews, briefings, drafts and working papers. Destroy when 3 years or no longer needed.
- B. Memoranda and communications with the Director and Director Council files (***subject to archival review**) Destroy when 5 years old.
- C. Signature authorizations, essential personnel lists. Retain until obsolete.
- D. DOE budget (Oak Ridge, Site and head office) Destroy when 6 years old
- E. SURA administrative files including discretionary funds records. Destroy when 6 years old
- F. Quality/DOE TQM statistics and surveys, strategic planning, CEBAF Quality Advisory Council, other QA management plans, etc. Destroy when 5 years old.
- G. Interlaboratory meetings and reports, documentation, and other records common to most offices. Destroy after 2 years.

*** Records which are subject to archival review should not be disposed of until reviewed by the Records Management Office.**