

RECORDS MANAGEMENT HANDBOOK

June 2017

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MANAGING RECORDS AT JEFFERSON LAB

JSA, LLC and Jefferson Lab recognize the importance of appropriate handling of records. Every laboratory employee has responsibilities for laboratory records. Records management is a line function at Jefferson Lab, and the office of records management assists line management in meeting its records management responsibilities.

Records management provides a rational basis for making decisions about recorded information, including what should be saved or discarded. These decisions are necessary to support the legal, fiscal, administrative, and research needs of the laboratory, JSA, LLC, the federal government, Commonwealth of Virginia, and the general public. The ultimate goal of records management is to identify and maintain records that adequately and properly document the organization, functions, policies, procedures, decisions, and essential transactions of projects and research. In addition to maintaining such records, it is also critical to understand that non-permanent records must be destroyed when they reach the end of their lifecycle.

Within this handbook are guidelines to assist each laboratory department in managing its records. Contact Records Management at x7805 for any clarification.

WHAT IS A RECORD?

All books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristic, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them (44 U.S.C. 3301).



Quick definition: Any document created or received in the course of business

WHAT IS RECORDS MANAGEMENT?

The Records Management Program at Jefferson Lab ensures that record information is controlled, maintained, appraised, and disposed of in compliance with legal requirements, Department of Energy (DOE) requirements, and other federal requirements.



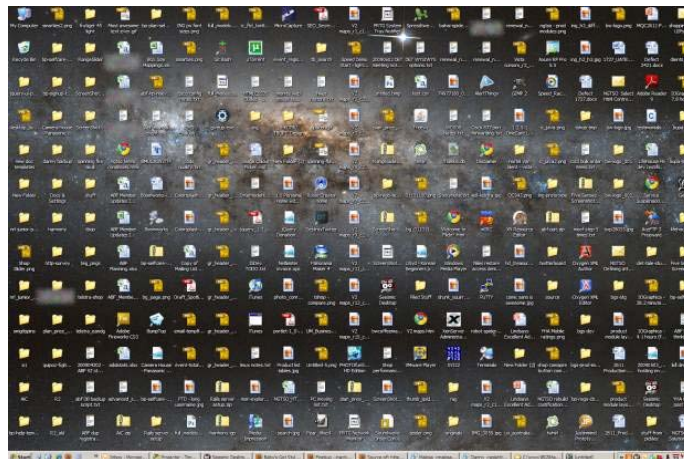
Electronic records are common at Jefferson Lab.



WHY RECORDS MANAGEMENT?

It is good business practice to observe a consistent process for maintaining and preserving certain records, particularly those that concern scientific research and development, such as experimental data and analysis, and sensitive administrative records, such as employee medical records, contracts, personal information, etc.

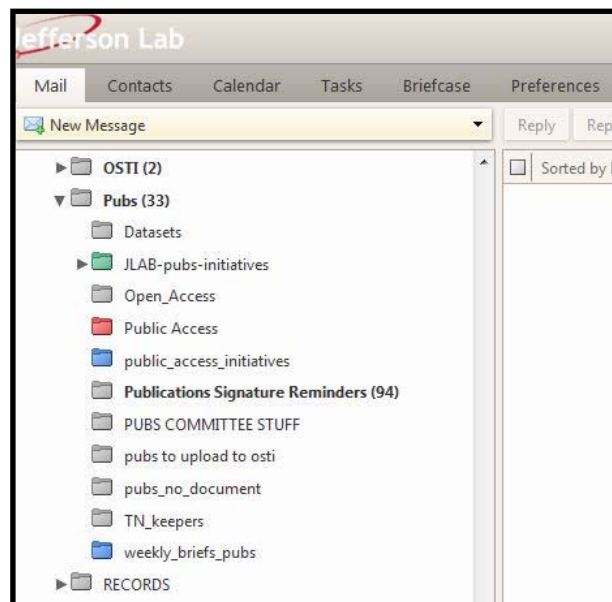
This guide is prepared to assist those who create and/or maintain files and records. The Records Management Office has developed guidelines for handling laboratory records to avoid problems such as wasted office space, misplaced records, and unauthorized destruction of important documents.



Managing Records

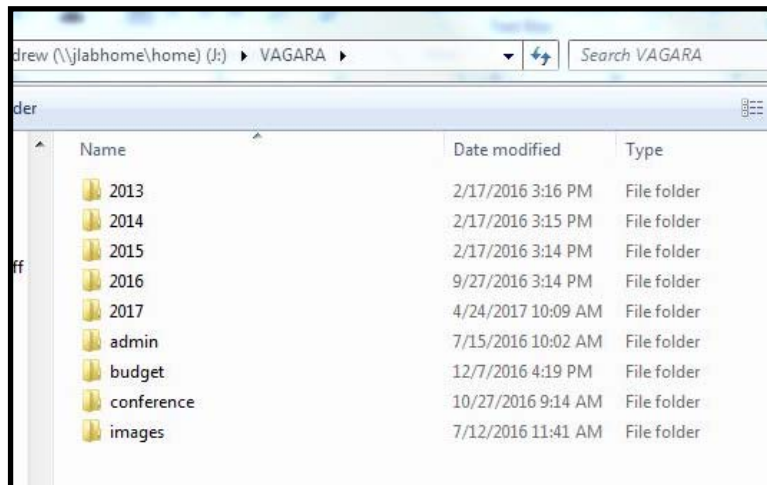
Jefferson Lab employees create and receive hundreds of electronic records every day. Here are a few guidelines to help the JLAB employee manage electronic records.

1. E-mail: Keep official and personal email messages separate. Create folders inside your email application in which to place messages, separating by type or series.



Managing Records

2. Paper vs. electronic documents: The Electronic Records and Signatures in Commerce Act from June 2000, broadly authorizes the retention of electronic documents in place of paper originals. This said, paper documents may be destroyed provided the electronic document is exactly the same in appearance as the paper and is retained according to guidelines. However, electronic documents must also be disposed, or deleted when their retention dates arrive. For this reason, electronic documents must be stored together according to retention date if stored to a network drive (see #3 below). Do not use portable devices such as flash drives or external hard drives to store records.
3. Back-ups: When backing up your documents onto the JLAB network, it's best to save them according to series, that is, the types of documents you are saving. For example, documents pertaining to one specific project should be saved together in a specific folder in your network home directory.



Example of a directory filing structure.

Managing Records

- Like any other record, electronic records must be deleted once they have reached their life-end. Some records, such as informal memos received via email, have a very short retention period while others, such as records of the Director's Office, have archival value and must be kept indefinitely. If you find you are keeping a lot of long-term records, and wish to transfer them to Records Management for storage, contact the Records Manager.

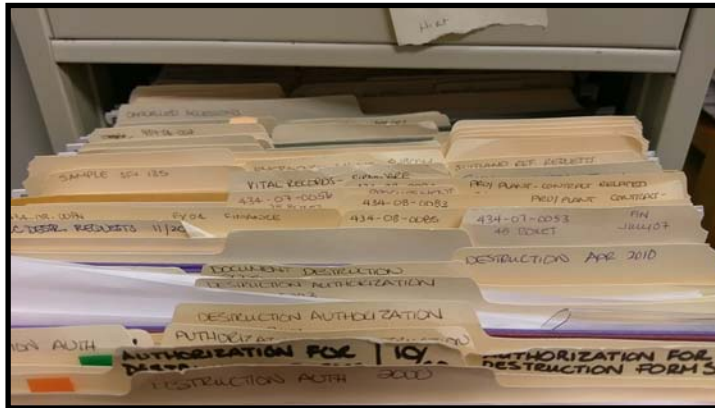


Example of a document management system filing structure.

- Records may be stored in the DocuShare Document Management System with applicable permissions applied to records. Once the records have reached their retention date, the records may be deleted.
- Records retention for electronic records are the same as they are for any other format. Jefferson Lab complies with the DOE Records Schedules and the National Archives and Records Administration's General Records Schedule (GRS).

Managing Records

7. Paper records in centralized filing areas, such as in Human Resources and Finance, should be filed according to your department's file plan to ensure ease of finding records when needed.
8. Paper records in office file cabinets should be filed in an orderly and reasonable manner that would allow others to be able to find records if necessary.



9. Once records are no longer active in the department, they can be transferred to records management for storage until they can be disposed. Records remain onsite until audited (if applicable), then are transferred to the National Archives and Records Administration's (NARA) Federal Records Center (FRC).
10. Procedures for transferring to and accessing of paper records in storage are on the following pages.

ON-SITE HOLDING AREA

Records storage.

Records Storage Procedure

- A. Jefferson Lab has established a records holding area for inactive records. The records area is secure and access is allowed to authorized personnel only. To store records in the on-site holding area, the Department Records Coordinator must prepare and document the records properly.
- B. Obtain records storage boxes from supply. Records may only be transferred to storage in the appropriate boxes. Records may not be packed in boxes with lids (such as bankers' boxes). Official storage boxes are those that meet the Federal Records Center standard for storage. The dimension of an official size storage box is 14-1/2 x 12 x 9-1/2 inches. The shelving in the records holding area accommodates boxes with these dimensions only.
- D. All records in a single box must have the same retention date.
- E. Do not use binders. File folders must be labeled and labels must be clearly seen. If file folders are overfilled, separate the contents of file folders among additional file folders, labeling these folders in sequence (1 of 2, 2 of 2, etc....).
- F. File folders should be checked for items that do not belong in storage such as metal file dividers, multiple copies of the same record, unnecessary documents. Boxes must not be packed tightly, use additional boxes to alleviate tightly fitted folders. Mark boxes in sequence.

- G. Do not seal boxes with packing tape. Do not write on boxes. Assign a departmental log number to the box. This log number allows the department to keep track of its boxes in the event of a future need for a document stored within the storage area. The log should contain the log number, specific description of the contents of the boxes, and the label names on the file folders within the boxes. Place a paper copy of the inventory and log entry into the box before transferring to Records Management.
- H. Do not write on boxes..
- I. Send an email to the Records Manager at kindrew@jlab.org when your boxes are ready to be transferred to the on-site holding area. Include the quantity of boxes and attach the electronic copies of the paper inventories which are placed into the boxes.
- J.. Records will be shipped periodically to the Federal Records Center in Suitland, Maryland.



RETRIEVING RECORDS FROM ON-SITE HOLDING AREA

- A. To retrieve records from the on-site holding area, review your department log to determine which box contains the records you need. Note: You can request an entire box or file folders only. Individual documents will not be removed from folders.
- B. Send an email to kindrew@jlab.org with your specific request. Records are delivered to your office within 1 business day.

RETURNING RECORDS TO ON-SITE HOLDING AREA

- A. To return boxes which were withdrawn from the holding area, send an email to kindrew@jlab.org. To return file folders to a box in the on-site holding area, place them in a departmental envelope with a note specifying the box from which they were removed and send to the Records Manager at MS 1B.
- B. If you are returning an entire box, returns are picked up by the Records Manager from your office within five business days of the request.

DISPOSITION OF RECORDS IN ON-SITE STORAGE

- A. The Records Manager will run an annual disposition report to determine which boxes have reached their final disposition dates and may be disposed or destroyed.
- B. The Records Manager will send a list of boxes that have reached retention to the appropriate Department Heads, who indicate whether the boxes are to be disposed as is or mutilated, sign the report and return the report within 30 days. If no response is received by the Records Administrator within 90 days, records will be destroyed.
- C. If the Department Head requests a disposition date be extended, a reasonable explanation must be provided. Infrequently, due to events at the lab, certain documents may be scheduled differently, causing their disposition dates to change. Common reasons for extending disposition dates are: on-going audits, legal holds due to upcoming or current legal cases, and DOE moratoria (such as common epidemiological moratoria.)

LEGAL REQUIREMENTS

All records generated by the Laboratory under terms of its contract with DOE are considered institutional. As such, all Laboratory records are owned by the United States government, with the exception of:

- Employment-related records (excluding records being maintained in Privacy Act systems of records);
- Confidential JSA, LLC financial information and correspondence between JSA, LLC and other segments of JSA, LLC located away from the lab;
- procurement records (excluding records that are described as the property of the government under 48 CFR (DEAR) 970.5204-9, Accounts, Records and Inspection);
- legal records; and
- certain records maintained pursuant to the technology transfer clause of the contract.

Four primary laws related to federal records management:

- **Federal Records Act** of 1950, as amended, provides the legal framework for federal records management, including record creation, maintenance, and disposition.
- **Freedom of Information Act:** The Freedom of Information Act (FOIA) generally provides that any person has the right to request access to federal agency records or information except to the extent the records are protected from disclosure by any of nine exemptions contained in the law or by one of three special law enforcement record exclusions.
- **Privacy Act of 1974** establishes a code of fair information practices that governs the collection, maintenance, use, and dissemination of information about individuals that is maintained in systems of records by federal agencies.
- **Paperwork Reduction Act of 1980** is designed to reduce the total amount of paperwork burden the federal government imposes on private businesses and citizens.

PRIVACY ACT PROTOCOL

Applicability

The U.S. Privacy Act applies specifically to certain kinds of records the Laboratory is required to maintain on individuals. These are:

- ▶ Radiation exposure records
- ▶ Occupational and industrial accident records
- ▶ Labor standards complaints and grievances
- ▶ Employee insurance claims

Although the Laboratory is not required to apply the Privacy Act to other kinds of records, it is good business practice to restrict access to other potentially sensitive records, including:

- ▶ Personnel medical records
- ▶ Other personnel records, such as employment, performance, discipline, and compensation records

The Privacy Act prohibits unauthorized disclosure of the information contained in these records. It provides a system of controls to protect the confidentiality of the information, while allowing access to the records for necessary uses. Individuals are assured of privacy by requirements that prohibit non-routine disclosure without the consent of the subject individual. (The Privacy Act considers routine disclosures to be those which are compatible with the purpose for which the record was collected.) Individuals have the right to access the files listed above which pertain to them.

JSA/Jefferson Lab has taken steps to ensure the privacy and confidentiality of any files maintained on individuals by the organization, including those which do not specifically meet the requirements of the Privacy Act. The overall Jefferson Lab records management program will continue to be operated in accordance with this philosophy.

For additional information, contact the JSA/Jefferson Lab General Counsel.

Privacy Act (continued)

Notification

For further information on the Privacy Act, call the Records Administrator or review the "Privacy Act Records Notice" below.

Thomas Jefferson National Accelerator Facility

NOTICE

PRIVACY ACT RECORDS

JSA is required by its contract with the Department of Energy (DOE) to maintain the following "systems of records" on individuals in order to accomplish DOE functions:

- Personnel radiation exposure records (DOE-35), respecting Laboratory employees, DOE employees and visitors to the contract site;
- Occupational and industrial accident records (DOE-38)
- "Labor Standards Complaints and Grievances" (DOE-39)
- "Contractor Employee Insurance Claims" (DOE-40)

In addition to the above records which are subject to the Privacy Act of 1974 and DOE regulations, JSA/Jefferson Lab maintains personnel medical records which could have Privacy Act implications.



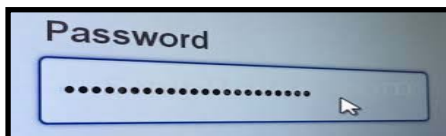
Privacy Act (continued)

Storage/Security Protection

To ensure the confidentiality and security of individual records, each employee in contact with such records should:

- ▶ Keep paper records in locked file cabinets
- ▶ Protect electronic records with passwords
- ▶ Do not leave sensitive records unattended or exposed to casual view
- ▶ Use a shredder when disposing of them
- ▶ Treat drafts, notes and backup materials as equally confidential during work in progress.

In addition, to guard against damage of vital records, store critical paper records in fireproof file cabinets, and back up electronic files and store the backup copy in a separate location. Contact the CNI Group for assistance in storing and securing electronic (data) files.



Privacy Act (continued)

Access to Records

A. Routine Use

The use of records in ways that are compatible with the purpose for which the records were collected is considered to be routine. The consent of the individual is not required for routine uses of files and records.

B. Requests for Access by Others

1. If an employee wishes to release his/her records to a third party (for example, a physician or attorney), the request should be made in writing to the record holder.
2. Third-party requests, including requests by local, state, or federal officials or agencies should be referred to the Director of Human Resources, who will determine the appropriateness of releasing the information.
3. Each record holder should keep a log of all written requests for access to Privacy Act records. The log should be kept for five years or the life of the record (whichever is longer) and should include:
 - ▶ Date
 - ▶ Name/address of requesting person or agency
 - ▶ Purpose and nature of request
 - ▶ Evidence of the subject individual's consent, or a notation that the request was forwarded to the Director of Human Resources for review.

Requests by Individuals to Amend their Records

When a record change is necessary, individuals should notify the record holder in writing, describing the need to amend the record.

Individual Appeals

An individual whose request for an amendment has been denied can appeal the denial within 30 calendar days, in writing, to the Director of Human Resources. The appeal can be marked, "Privacy Act – Appeal."

Records Management **POLICY**



GEN018kd

This policy establishes expectations for the management of records at Jefferson Lab as required by the laboratory's Quality Assurance Program (QAP) Description and ISO 9001.

All records generated by Jefferson Lab/Jefferson Science Associates, (JSA) LLC under terms of the contract with the Department of Energy (DOE) are considered institutional records and are owned by the United States government with the exception of:

- Employment-related records (excluding records being maintained in Privacy Act systems of records)
- Confidential JSA, LLC financial information and correspondence between JSA, LLC and other segments of JSA, LLC located away from the lab
- Procurement records (excluding records that are described as the property of the government under 48 CFR (DEAR) 970.5204-3 "Access to and Ownership of Records")
- Legal records
- Certain records maintained pursuant to the technology transfer clause of the contract

This policy and its implementing procedures are required by clauses within the contract:

- DOE Order 471.3 "Identifying and Protecting Official Use Only Information"
- DOE Manual 471.3-1 "Manual for Identifying and Protecting Official Use Only Information"

It is good business practice to establish and follow a consistent process for maintaining and preserving records, particularly those that concern scientific research and development, as well as those containing sensitive administrative information such as employee medical records, contracts, and personal information.

SCOPE

The Jefferson Lab records management program distinguishes between those records that require management and those that do not. This policy applies to all parts of Jefferson Lab and to all records generated by Jefferson Lab/JSA under terms of the contract with DOE that require maintenance.

This policy and its implementing procedures will apply only to those records requiring management – records that are necessary to create and maintain an understandable documentation of Jefferson Lab’s activities and compliance with the contract. These include both administrative records (e.g., personnel records, procurement records, property disposal records, etc.) and programmatic records (e.g., research and development records, equipment inspection and maintenance records, etc.)

NOTE: Items such as reference materials, drafts, convenience files, and copies of records managed by other offices do not require maintenance.

All books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristic, created or received during the course of laboratory operations are records. However not all records require management. A record requires management if it:

- Documents the organization, function, processes, policies, decisions, procedures and essential transactions
- Is necessary to protect the legal and financial rights of DOE, Jefferson Lab/JSA, and persons directly affected by the laboratory’s activities
- Documents compliance (e.g., records applicable to 10 CFR 851.26(4))
- Is received from outside Jefferson Lab but used to perform and/or direct work (e.g., letter from DOE)

RESPONSIBILITIES

NOTE: Management authority may be delegated at the discretion of the responsible manager.

Chief Information Officer

Appoint the Jefferson Lab Records Administrator (RA).

Department Managers

Appoint the departmental records coordinator(s).

Laboratory Records Manager:

Provides training and guidance for records coordinators/creators.

Develops records management documentation and forms.

Oversees all facets of records management including final disposition of Jefferson Lab records.

Department Records Coordinators:

Create and maintain the inventory of department records.

Oversee the disposition of department records.

All Jefferson Lab Employees, Users, and Subcontractors:

Understand and follow this policy and its implementing procedures.

EXPECTATIONS

The records manager will:

- Create, with aid from department records coordinators, and maintain a current record inventory that describes all categories of records created, received, and maintained by department personnel in the course of their Jefferson Lab duties.
- Preserve and manage the disposition of records in accordance with this policy and its implementing procedures.

The implementation procedures for this policy will address the processes by which the records manager and records coordinators manage records:

- Identification
- Storage
- Retrieval
- Protection
- Retention
- Disposition

The implementation procedures also describe the requirements for staff that create and/or receive records that must be managed.

DEFINITIONS

Complete glossary begins on page ____.

Record: All books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristic, created or received during the course of laboratory operations are records. Regardless of format, records provide evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of an organization.

Managed Record: A record requires record management if it:

- Documents the organization, function, processes, policies, decisions, procedures and essential transactions regardless of physical format or characteristics, or
- Is necessary to protect the legal and financial rights of DOE, JLab/JSA, and persons directly affected by activities at Jefferson Lab, or
- Documents compliance, e.g., records applicable to 10 CFR 851.26(4), or
- Is received from outside Jefferson Lab but used to perform and/or direct work, e.g., letter from DOE.
- Copies of records do not need to be managed.

REFERENCES

- Jefferson Lab Quality Assurance Plan (QAP)
(http://www.jlab.org/div_dept/dir_off/oa/QAMP.pdf)
- 48 CFR (DEAR) 970.5204-3 "Access to and Ownership of Records
(<http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=4c67621518b126d5d11f1fb43ca753aa&rgn=div5&view=text&node=48:5.0.3.26.40&idno=48#48:5.0.3.26.40.31.1.8>)
- DOE Order 471.3 "Identifying and Protecting Official Use Only Information" (<https://www.directives.doe.gov/directives/restrict/471.3-BOrder/view>)
- DOE Manual 471.3-1 "Manual for Identifying and Protecting Official Use Only Information." (<https://www.directives.doe.gov/search?Title=%22DOE+m+471.3-1%22&Subject:list=status:+current&submit=Search>)
- Records Management for Records Coordinators – Procedure (pages 25-31)
- Records Management for Individuals – Procedure (pages 22-24)

Records Management Procedure for Individuals, GEN018kd.3

PURPOSE: This procedure describes how individuals at Jefferson Lab manage the records they create or receive during their Jefferson Laboratory activities. This procedure also implements requirements of the lab's Records Management Policy.

SCOPE: This procedure applies to all Jefferson Lab records.

DEFINITIONS: See page 21.

Roles & Responsibilities

NOTE: Management authority may be delegated at the discretion of the responsible manager.

Department Managers, Supervisors, & SOTRs

Ensure employees, users, and subcontractors understand and fulfill their responsibilities under Jefferson Lab's Records Management Policy.

Records Coordinators (RC)

Serve as the department's "local expert" on records management.

Staff, Users, & Subcontractors

Understand the laboratory's Records Management Policy and follow this procedure to implement it.

Records Management Procedure for Individuals, GEN018kd.3

Process Steps & Expectations

Recognizing Material that Requires Records Management

All books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristic, created or received during the course of laboratory operations are records.

A record requires record management if it:

- Documents the organization, function, processes, policies, decisions, procedures, and essential transactions regardless of physical format or characteristics; or
- Is necessary to protect the legal and financial rights of DOE, JLab/JSA, and persons directly affected by activities at Jefferson Lab; or
- Documents compliance (e.g., records applicable to 10 CFR 851.26(4)); or
- Is received from outside Jefferson Lab but used to perform and/or direct work (e.g., letter from DOE).

NOTE: Copies of records do not need to be managed.

Preserving Records

- Records identified as requiring management are assigned a retention period.
- Records are saved until the end of their retention period. Inactive records may be transferred to the lab's controlled storage area. The RC manages this transfer.
- Unless they have archival value, records are destroyed at the end of their retention period (see Records Management for Records Coordinators Procedure).

Records Management Procedure for Individuals, GEN018kd.3

Process Steps & Expectations, continued

Managing Email & Other Electronic Records

- Keep official and personal email messages separate, filing them in folders by series. (see example, page 4)
- Email messages are records and are to be retained no longer than necessary, according to retention periods.
- If records are saved in hard copy, the electronic copy may be deleted.
- If records are saved electronically, the hard copy may be disposed of provided scanned electronic records undergo quality checks to ensure they are identical to the hard copy.

Protecting Privacy

- Understand the lab's Policy for Personally Identifiable Information (PII).
- Protect PII records.

Filing Records

- File paper records in accordance with department's filing plan.

Reference Documents

Records Management Policy (pages 17-21)

Records Management for Records Coordinators Procedure (pages 25-31)

Records Management for Records Coordinators (RC) Procedure, GEN018kd2

Procedure Overview

Purpose: This procedure describes the processes used by Records Coordinators (RC) to manage records for which they are responsible. It includes:

- Creating and maintaining an inventory of records
- Storing records
- Retrieving records
- Disposing of records
- Managing special records:
 - Archival (transfer to archives when no longer needed)
 - Vital (ensure security of vital records)
 - Privacy (ensure privacy of privacy act applicable records)

This procedure implements requirements of the lab's Records Management Policy. (pages 17-21)

Scope: This procedure applies to all Jefferson Lab records.

Records Management for Records Coordinators (RC) Procedure, GEN018kd2

Procedure Overview, continued

Definitions:

Inactive Record: A record that is no longer in use or needed by the owner is inactive. An inactive record may not be destroyed before its retention period has elapsed.

Managed Record: A record requires record management if the record:

- Documents the organization, function, processes, policies, decisions, procedures and essential transactions regardless of physical format or characteristics.
- Is necessary to protect the legal and financial rights of DOE, JLab/JSA, and persons directly affected by activities at JLab.
- Documents compliance (e.g., records applicable to 10 CFR 851.26(4)).
- Is received from outside Jefferson Lab but used to perform and/or direct work (e.g., letter from DOE).

NOTE: Copies of records do not need to be managed.

Record: All books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristic, created or received during the course of laboratory operations are records. Regardless of format, records provide evidence of the organization, functions, policies, decisions, procedures, operations or other activities of an organization.

RIDS: Record Inventory and Disposition Schedule, is a listing of record series and their retention periods.

Series: A group of records that are kept together because they relate to each other in some way. The grouping used to manage records.

Records Management for Records Coordinators (RC) Procedure, GEN018kd2

Procedure Overview, continued

Definitions:

Vital Record: Are of two types:

- Emergency Operations: Records essential to the functioning of the government and JLab in order to protect resources, services and systems; and maintain public health, safety and order for the duration of an emergency.
- Legal & Financial: Records essential in protecting the legal and financial rights of the government, JLab/JSA, and the individuals directly affected by its activities (e.g., staff and public).

Roles & Responsibilities

NOTE: Management authority may be delegated at the discretion of the responsible manager.

Jefferson Lab's Records Manager

- Train RCs
- Assist RCs in managing their records
- Review and approve Records Inventory and Disposition Schedules (RIDS) submitted by records coordinators
- Disposal of records

Department Managers/Project Managers

- Appoint one or more RCs within the department
- Add RC training to each records coordinator's Skills Requirement Lists

Records Coordinators (RC)

- Complete RC training
- Use this procedure to manage departmental records
- Create and maintain an inventory of departmental records
- Serve as the department's "local expert" on records management
- Manage departmental record storage

Records Management for Records Coordinators (RC) Procedure, GEN018kd2

Process Steps & Expectations

Create & Maintain an Inventory of Departmental Records

NOTE: Records are inventoried by series, not individually. A series is a group of records that are stored so that they can be accessed together if the search "keys" on the factor that relates them. They should have the same retention period.

- RC completes all items on the RIDS form.
- RC signs the RIDS and forwards it to the RA for review and approval.
- RA reviews and signs the RIDS and returns a copy to the RC.
- RC files the approved RIDS.
- RC reviews the RIDS as determined by the RA.

Storing Records

Records are stored in a secure manner until the end of their retention period is reached.

Paper records are processed in the following manner:

1. Inactive records are sent to a secure records holding area.
2. Use DOE Disposition Schedules to schedule records before moving them to storage.
3. Use only boxes that meet the Federal Records Center standard for record storage.
4. All records in a box must have the same disposal year.
5. Do not use binders. Instead, separate files into clearly labeled file folders to facilitate retrieval of individual records.
6. Leave each box unsealed and unmarked, but place a list of its contents on top of the files within each box.
7. Complete and submit a New Records Submission Form.
8. A current list of centrally stored records and their locations is found on the Records Management Storage Log (Access Software required).

Records Management for Records Coordinators (RC) Procedure, GEN018kd2

Process Steps & Expectations, continued

Storing Records

Electronic records are processed in the following manner:

1. Active and inactive records that were created and are stored in specific systems are backed up according to the computer center backup schedule which meets federal guidelines for legal retention.
2. Active and inactive records that were created in independent software applications (such as word processing applications) must be stored on a backed up network directory.
3. All electronic records must be stored in a manner that allows for opening the record if needed.
4. Electronic records must be retained according to federal and DOE guidelines, and may be deleted with permission from Records Management.

Retrieving Stored Records

1. Use the Records Management Storage Log (Access Software required) to identify the box(es) or folder(s) needed.
2. Complete and submit the Records Storage and Retrieval Form to the Records Manager
3. The requested box(es) or file(s) will be delivered within 24 hours if stored on-site.

Disposing of records

- Records are held until they have reached the end of their retention period as specified in the RIDS.
- When locally stored records reach their disposition date the RM submits an Authorization for Destruction of Records to the Department Head
- The Department Head reviews and authorizes destruction or retention of the records and returns the form to the RA.

NOTE: If after 75 days there is no response, a second "Authorization for Destruction of Records" is submitted to the manager. No response within 90 days is considered concurrence and the records are destroyed.

Records Management for Records Coordinators (RC) Procedure, GEN018kd2

Process Steps & Expectations, continued

Managing Archival Records (see page 32)

- Records are archival if they contain information on the origin, organization, procedures, and functions of Jefferson Lab, or if they could act as a link in the historical chain of lab activities or events.
- If a record's designation as archival is uncertain, consult with the record's creator and/or the RA to establish its historical value.
- Archival records are preserved.
- Route inactive archival records to the RA with a memo stating that they are of historical value.

Managing Vital Records

Vital records are records essential to the continued functioning or reconstitution of Jefferson Lab during and after an emergency, and protecting the rights and interests of the laboratory and of the individuals directly affected by its activities.

- Identify vital records on the RIDS.
- Ensure vital records are protected from damage resulting from fire, water or other natural or man-made hazards through one or more of these methods:
 - Dispersal
 - Duplication
 - Remote storage

Managing Privacy Act Records

Read more about the Privacy Act on pages

- Ensure the department's record filing and storage systems adequately protect the confidentiality of these records
- Assist department staff in properly managing access to and storage of sensitive records

Managing Electronic Records

Requirements for managing electronic records are the same as those for paper records.

**Records Management for Records Coordinators (RC)
Procedure, GEN018kd2**

Reference Documents

Records Management Policy (pages 17-21)

Records Management for Individuals – Procedure (pages 22-24)

IDENTIFYING ARCHIVAL MATERIAL

Make note of any documents produced by your offices that contain information on the origin, organization, procedures and functions of Jefferson Lab.

Consider whether the document could act as a link in the historical chain of Jefferson Lab activities or events.

If uncertain of the historical value of documents, do not schedule or discard them. Instead, review the records with their creator(s), if possible, or notify the Records Manager to establish their historical value. Route records deemed to have historical value to the Records Management office.



RECORDS MANAGEMENT PROGRAM COMPONENTS AND SERVICES

1. Training and Workshops

The Records Manager will offer training and workshops on records management, including records disposition, vital records protection, files management, electronic records retention scheduling, and disaster preparedness.

2. Records Inventory

All Laboratory divisions, departments, and research groups are responsible for completing and keeping current inventories for their records, and should share the information electronically with the Records Manager.

3. Records Scheduling

Records must be maintained according to the retention schedules approved by the National Archives and Records Administration. The schedule is the legal instrument by which records are evaluated and decisions are made about their storage, preservation, availability, or transfer to the National Archives and Records Administration. The Records Manager is responsible for maintaining retention schedules that accurately reflect the nature and content of the Laboratory's records.

Records Schedules which are not covered by an approved DOE or NARA schedule are submitted to DOE and the National Archives for review and approval. It is critical to note that records may not be destroyed unless they are covered by an approved schedule.

4. Program Assessment

To establish accountability and to assess the Laboratory's records management practices, the Records Administrator will assess each division, department, project, and research group's area using National Archives and Records Administration guidelines and requirements. Reports of the records surveys will be given to the Files Coordinator and appropriate line management. Line management and the Files Coordinator are responsible for correcting the deficiencies within a reasonable amount of time.

5. Mixed media

Scientific and technical records may consist of laboratory notebooks, raw observational or experimental data, text files, software, or modeling and design systems recorded on electronic or optical media. According to the law and National Archives and Records Administration regulations, records may consist of any media, including microfilm, magnetic tape, floppy and hard disks, and optical cards and disks. Information on these media must be covered by an approved records schedule and handled according to the terms of the schedule.

Federal law and regulations require the Laboratory to schedule electronic and optical record retention by information system (including inputs, outputs, documentation, and magnetic or optical media). Un-scheduled records or records scheduled for permanent retention in hard copy may not be destroyed without National Archives approval. Before a division, department, project, or research group creates electronic or optical data systems, the Files Coordinator should contact the Records Manager about disposition requirements.

6. Vital Records

Vital records should be inventoried and identified. Scientific groups and departments must take appropriate measures to protect vital records. The Records Manager sends an annual inventory assessment to each vital records coordinator to ensure up-to-date data.

7. Disaster Recovery

If records are damaged by fire, water, or other natural or man-made hazards, the Records Manager should be contacted to assess the damage, determine whether in-house methods can be used to recover the information, or find additional records disaster recovery expertise.

8. Disposition of Personal Papers and Official Records

Individuals do not own Laboratory records and do not have the authority to dispose of them or transfer records to another institution. If individuals maintain personal files at the Laboratory, they must not mix Laboratory records with their personal records.

9. Privacy and Access Laws

Laboratory records are subject to the procedures outlined in the Freedom of Information Act and the Privacy Act. For assistance and clarification about these laws, call the Records Manager

10. Access to Laboratory Records

Laboratory records that are permanent, historically valuable, and non-current are open to research, subject to Freedom of Information and Privacy Act provisions. Researchers are encouraged to call the Records Manager to make arrangements to use these records.

11. Central Records Holding Area

The Records Manager operates the Laboratory's on-site temporary holding area. All offices are required to retire semi-active records series to the Records Manager. Semi-active records remain on-site. Once records become inactive or once business records have undergone audit, they are sent to off-site storage with the Washington National Records Center in Suitland, Maryland. If records which are stored off-site are needed, contact the Records Manager, who will make a formal request. Records will be received 2-3 business days after requested.

12. JLAB History Archives

Established in 2012, the Jefferson Lab Archives collections include the papers of Jim McCarthy, Hermann Grunder, Hans von Baeyer, Franz Gross, Harry Holmgren, Nathan Isgur and Ron Sundelin, as well as institutional records and photos.

GLOSSARY

ACCESS: The availability of, or the permission to consult, records.

ACCESSION: The transfer of the legal and physical custody of permanent records from an agency's office to on-site storage, the Federal Records Center, or to the National Archives.

ACTIVE RECORDS: Records necessary to conduct the current business of an office and therefore generally maintained in office space and equipment. Also called **CURRENT RECORDS**.

ADEQUATE AND PROPER DOCUMENTATION: A record of the conduct of U.S. Government business that is complete and accurate to the extent required to document the organization, functions, policies, decisions, procedures, and essential transactions of the agency and that is designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities.

ADMINISTRATIVE RECORDS: Records relating to budget, personnel, supply, and similar housekeeping, or facilitative, functions common to most agencies, in contrast to program records.

ADMINISTRATIVE VALUE: The usefulness of records in conducting an agency's current business. Includes fiscal value and legal value, which are usually analyzed separately when records are evaluated for disposition.

APPRAISAL: The process of determining the value and thus the final disposition of records, making them either temporary or permanent.

ARCHIVAL MATERIAL: A document or record containing specific information about the project that may have historical significance. Examples may include reports, studies, proposals, correspondence, etc....

ARCHIVES: (1) The non-current records of an organization preserved because of their continuing, or enduring, value. (2) One or more buildings, or portions thereof, where permanent records are located after being accessioned by an archival agency. Also called archival depository or archival repository.

CASE FILES: Records, regardless of media, documenting a specific action, event, person, place, project, or other matter. Include personnel, project, and transaction files, which are types of case files.

CENTRAL FILES: Files accumulated by several offices or organizational units and maintained and supervised in one location. Also called centralized files.

CLOSED FILE: A file unit or series containing documents on which action has been completed and to which more documents are not likely to be added. See also CUTOFF.

CONTRACTOR RECORDS: Data produced and/or maintained by a contractor for a Federal agency and required to provide adequate and proper documentation of that agency's programs and to manage them effectively. Also called contractor data.

CUTOFF: Breaking, or ending, files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Case files are generally cut off at the end of the year in which the case is closed. Cutoff is sometimes abbreviated as COFF and is also called file cutoff or file break.

DESTRUCTION: In records management, the major type of disposal action. Methods of destroying records include selling or salvaging the record medium and burning, pulping, shredding, macerating, or discarding with other waste materials.

DISPOSAL: The actions taken regarding temporary records after their retention periods expire and consisting usually of destruction.

DISPOSITION: A broad term which may refer to any of the following:
Destroying records;
Offering and transferring those records accepted to the National Archives;
Retiring or transferring records to a records storage facility;
Transferring records from one office or agency to another; and
Donating records to a Government or non-Government entity.

DISPOSITION AUTHORITY: (1) Legal approval empowering an agency to transfer permanent records to the National Archives or carry out the disposal of temporary records. Must be obtained from NARA and also, for certain records proposed as temporary, from the General Accounting Office (GAO). (2) The agency's approval of disposition instructions for non-record materials.

EMERGENCY-OPERATING RECORDS: That type of vital records essential to the continued functioning or reconstitution of an organization during and after an emergency. See also VITAL RECORDS.

FEDERAL RECORDS CENTER (FRC): A storage facility established for the receipt, maintenance, servicing, and disposition of records which are retired in accordance with the provisions of authorized disposition schedules. The National Archives and Records Administration operates a system of Federal records centers which DOE is authorized to use.

FILES CUSTODIAN: The individual responsible for the establishment, maintenance, and operation of file stations within their organizational units. Also referred to as "recordkeeper."

FILE SERIES: See RECORDS SERIES.

FINAL DISPOSITION: The end of the records life cycle in which temporary records are disposed of and permanent records are transferred to archives.

FISCAL VALUE: The usefulness of records in documenting an agency's financial transactions and obligations.

FROZEN RECORDS: In records disposition, those temporary records that cannot be destroyed on schedule because special circumstances, such as a court order or an investigation, require a temporary extension of the approved retention period.

GENERAL RECORDS SCHEDULE (GRS): A NARA-issued schedule governing the disposition of specified records common to several or all agencies.

INACTIVE RECORDS: Records no longer required to conduct agency business and therefore ready for final disposition. Also called **NON-CURRENT RECORDS**.

INVENTORY: A survey of agency records and non-record materials that is conducted primarily to develop records schedules and also to identify various records management problems, such as improper applications of recordkeeping technology.

LEGAL HOLD: process that an organization uses to preserve all forms of relevant information when litigation is reasonably anticipated. A legal hold will be issued as a result of current or anticipated litigation, audit, government investigation or other such matter to avoid evidence spoliation.

LEGAL VALUE: The usefulness of records in documenting legally enforceable rights or obligations, both those of the Federal Government and those of persons directly affected by the agency's activities.

LIFE CYCLE OF RECORDS: The management concept that records pass through three stages: creation, maintenance and use, and disposition.

NON-RECORD MATERIAL: Items which include those classes of documentary of other material that may be disposed of without archival authority such as the following examples:

- ▶ library or museum material made or acquired for reference or exhibition purposes
- ▶ extra copies of documents preserved only for convenience of reference on which no action is recorded or taken
- ▶ stocks of publications or other processed documents that require no action
- ▶ routing slips and transmittal sheets adding no information
- ▶ personal papers of a private or non-official character

Non-records may be destroyed when their purposes have been served.

PERSONAL PAPERS: Documentary materials belonging to an individual that are not used to conduct agency business. Related solely to an individual's own affairs or used exclusively for that individual's convenience. Must be clearly designated as such and kept separate from the agency's records. Also called personal files or personal records.

PRESERVATION: The provision of adequate facilities to protect, care for, or maintain records.

PROGRAM RECORDS: Records documenting the unique, substantive functions for which an agency is responsible, in contrast to administrative records.

RECORDKEEPING: The act or process of creating and maintaining records. Assumes the need for their proper disposition.

RECORDS: Records of the Department of Energy are books, papers, photographs, machine readable materials, maps, or other documentary materials, regardless of physical form or characteristics, which have documentary or evidential value. Such materials, created or received in connection with the transaction of official business, are preserved because of their informational value as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities. Records, also referred to as record material or Government records, can be destroyed only according to the provisions of authorized disposition schedules.

RECORDS CREATION: The first stage of the records life cycle in which records are made (or received) by an office.

RECORDS DISPOSITION SCHEDULES: A comprehensive listing and description of records created or accumulated which shows all legally authorized action to be taken in relation to the retention and disposition of the records. Records disposition schedules provide for cutting off records and carrying out their disposition.

RECORDS MANAGEMENT: The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records to achieve adequate and proper documentation of Federal policies and transactions and effective and economical management of agency operations. Also called records administration.

RECORDS MANAGEMENT PROGRAM: A planned, coordinated set of policies, procedures, and activities needed to manage an agency's recorded information. Encompasses the creation, maintenance and use, and disposition of records, regardless of media. Essential elements include issuing up-to-date program directives, properly training those responsible for implementation, publicizing the program, and carefully evaluating the results to ensure adequacy, effectiveness, and efficiency.

RECORDS SCHEDULE: See RECORDS DISPOSITION SCHEDULES.

RECORDS SERIES: Also called a files series. File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Generally handled as a unit for disposition purposes.

RIGHTS-AND-INTERESTS RECORDS: That type of vital records essential to protecting the rights and interests of an organization and of the individuals directly affected by its activities.

SERIES: see RECORDS SERIES

SPECIAL RECORDS: Types of records maintained separately from textual/paper records because their physical form or characteristics require unusual care and/or because they have nonstandard sizes. Include electronic, audiovisual, microform, cartographic and remote-sensing imagery, architectural and engineering, printed, and card records.

SPOILIATION: The destruction or alteration of evidence or failure to preserve property for another's use in litigation.

TRANSFER: The act or process of moving records from one location to another.

VITAL RECORDS: Records essential to the continued functioning or reconstitution of an organization during and after an emergency and also those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. Sometimes called essential records. Include both emergency-operating and rights-and-interests records. Vital records considerations are part of an agency's records disaster prevention and recovery program. See also EMERGENCY-OPERATING RECORDS, RIGHTS-AND-INTERESTS RECORDS.

Resources

The Information Resources staff at Jefferson Lab is here to help! Please use any of the following resources if you have questions about managing your records:

Kim Edwards, CRM
Records Manager
X 7805, MS 1B
kindrew@jlab.org

Your department records coordinator.

This handbook.

Website: <http://www.jlab.org/IR/records>

Archives: history@jlab.org

Docushare: docushare@jlab.org



