

## Records Management for Individuals Procedure

(This is a Class C3 Document)

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Content Classification:

[C1](#) = Contract or Regulatory requirement. Requires TJSO review and/or approval

[C2](#) = Technical content. Requires management or Subject Matter Expert review and/or approved by Laboratory Director.

[C3](#) = Risk Code  $\geq 2$ , affects +1 work groups, or at management discretion. Reviewed by SME(s) and approved by affected group managers

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## 1.0 Overview

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### 1.1 Purpose

This procedure describes how individuals at Jefferson Lab manage the records they create or receive during their Jefferson Lab activities. This procedure implements requirements of the Lab's [Records Management Policy](#).

### 1.2 Scope

This procedure applies to all Jefferson Lab records.

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## 2.0 Roles and Responsibilities

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### 2.1 Department Managers, Supervisors, and Technical Representatives (TR)

- Ensure staff, users, and subcontractors understand and fulfill their responsibilities under Jefferson Lab's [Records Management Policy](#).

### 2.2 Department Records Subject Matter Experts (SME)

- Serves as the department's subject matter experts on records produced and managed in the department.
- Works with the RC to maintain an accurate and up-to-date file plan for the department.
- Updates the department's file plan and/or essential records inventory annually.

### 2.3 Records Coordinators (RC) and Department Records SMEs

- Oversees completion and updates of file plans
- Identifies activities that require coordination with records management:
  - Digitization
  - Records retention and disposition
  - Records of departing department employees
  - Managing department records electronically to the greatest extent possible

### 2.4 Staff, Users, and Subcontractors

- Understand the Laboratory's [Records Management Policy](#) and follow this procedure to implement it.

## 3.0 Process Steps and Expectations

### 3.1 Recognizing material that requires Records Management:

- Records that 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).

### 3.2 Preserving records:

- The RC, with assistance from the RM, assigns a retention period to all records based on the DOE and/or National Archives and Records Administration General Records Schedules.
- Records are saved until the end of their retention period. Inactive records may be transferred to a short- or long-term storage area in SharePoint or other electronic storage areas used by the department.
- Unless they have historical archival value, records are destroyed/deleted at the end of their retention period (see [Records Management for Records Coordinators Procedure](#)).

### 3.3 Managing email and other electronic records:

NOTE:

Email messages in Jefferson Lab Outlook accounts will be deleted when are 7-years old, unless messages are moved to the “Archive” folder, in which case they are retained indefinitely for the primary purpose of preserving mission-related email. Staff who are not in mission-related functions at the lab may use the Archive folder to temporarily store email, but this folder is not intended for permanent storage of emails unless mission-related.

- All Jefferson Lab email accountholders should keep official and personal email messages separate.
  - Delete personal messages when no longer needed.
- Email records must be saved to a location like SharePoint or a network folder where authorized staff may access them, if needed.

- Email messages moved into SharePoint or a network drive must contain all relevant metadata:
  - Date
  - Time
  - Sender
  - Receiver(s),
  - All content in the subject and body, including attachment files.

### 3.3 Managing electronic records:

- Records must be managed electronically to the highest extent possible.
- **IF** paper records are saved electronically,  
**THEN** the RC may dispose of hard copy provided scanned electronic records undergo quality checks to ensure they are identical to the hard copy. (3.2)

### 3.4 Protecting privacy:

- The RC shall read and understand the Lab's [Policy for Personally Identifiable Information](#) (PII) (sign-on required to view).
- The RC shall protect PII records by ensuring folders in which they are stored are only available to authorized, logged-in users to view.
  - Paper records containing PII must be stored in locked cabinets. While such records are in use, computers must be locked when the user steps away, and papers must be locked away to ensure no unauthorized viewing.
- The RC shall file records in accordance with department's File Plan.
- The RC shall route inactive archival records to the RM with a memo stating that are of historical value.

## 4.0 Definitions and Abbreviations

**Record:** Any recorded information, regardless of medium or characteristics, made or received by an organization that is evidence of its operations and has value requiring its retention for a specific period of time.

**Managed Records:**

- 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).

## 5.0 References and Related Procedures

- [Jefferson Lab Records Management Handbook](#)
- [Records Management Policy](#)
- [Records Management for Records Coordinators Procedure](#)
- [National Archives General Records Schedules](#)

## 6.0 Revision History

Revision #	Revision or Update:	Effective
2.0	Periodic document review. Changes made corresponding to DOE 0 243.1C Records Management.	02/01/2023
<a href="#">Qualifying Periodic Review</a>	No changes necessary.	01/13/2015
<a href="#">1</a>	Periodic 3-year document review. Reformatted document to new QA/CI procedure format. Minor editorial changes to the "Managing Email and Other Electronic Records" section. Reapproval signatures not required.	01/20/2012

## 7.0 Approvals

Approved by	Signature	Date
Document Custodian	Kim Edwards <a href="#">Signature on file #219</a>	12/15/2023
PA Manager	Stephen Smith <a href="#">Signature on file #219</a>	12/15/2023



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