

Records Management Policy

(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 ≥ 2 , affects +1 work groups, or at management discretion. Reviewed by SME(s) and approved by affected group managers

Table of Contents

1.0	Overview	2
1.1	Purpose.....	2
1.2	Scope.....	2
2.0	Roles and Responsibilities	3
2.1	Chief Information Officer (CIO)	3
2.2	Records Manager (RM)	3
2.3	Division and Department Leaders	3
2.4	Department Records Coordinators (RC).....	3
2.5	Document Owners/Authors	4
3.0	Program Description	4
3.1	Department Records Coordinators shall:	4
3.2	Implementation Procedures for this policy will:.....	4
4.0	Definitions and Abbreviations	5
5.0	Reference and Related Procedures.....	5
6.0	Revision History	6
7.0	Approvals	6

1.0 Overview

1.1 Purpose

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, LLC (JSA) under terms of the contract with the Department of Energy (DOE) are considered institutional records and 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 financial information and correspondence between JSA and other segments of JSA located away from Jefferson Lab.
- Procurement records (excluding records that are described at the property of the government under [48 CFR \(DEAR\) 970.5204-3 "Access to and Ownership of Records"](#)).
- Legal records.
- Certain policy records maintained pursuant to the technology transfer clause of the contract.

1.2 Scope

NOTE:

- Contractor records should be managed separately and not interfiled with government records.
- Items such as reference materials, drafts, convenience files, and copies of records managed by offices other than the official office of record are non-records.

Jefferson Lab's Records Management Program distinguishes between records that require management and non-records which do not. This policy applies to all parts of Jefferson Lab and to all government records generated by Jefferson Lab/JSA under the terms of the contract with DOE and DOE O 243.1C.

This policy and its implementing procedures will apply only to government records created and/or received, and maintained by the various offices and departments of Jefferson Lab. These include both administrative records (e.g. personnel-related records, procurement records, property disposal records, etc.) and programmatic records (e.g. research and development records, equipment inspection and maintenance records, etc.).

Jefferson Lab fully manages government records in electronic format when possible, and manages all government records, regardless of format in accordance with prescribed laws, regulations, directives, and processes to ensure adequate and proper documentation of DOE's organizations' missions, functions, policies, and decisions ([DOE O 243.1C, CRD](#)).

2.0 Roles and Responsibilities

2.1 Chief Information Officer (CIO)

- The Jefferson Lab Records Management Program is within the office of the Chief Information Officer (CIO).

2.2 Records Manager (RM)

- Provides training and guidance for Records Coordinators/creators.
- Conducts program assessments at least every two years.
- Develops records management documentation and forms.
- In cooperation with IT and MIS, ensures electronic recordkeeping functions are included in all systems.
- Oversees all facets of records management including final disposition of Jefferson Lab records.
- Ensures the lab's compliance with [DOE O 243.1C Contractor Requirements Document](#).

2.3 Division and Department Leaders

- Appoints Departmental Subject Matter Expert(s) (SMEs) who are knowledgeable about departmental records and essential (vital) records, as required by the lab's Management and Operations (M&O) contract.
- Appoints Departmental Records Coordinator(s) (RC).

2.4 Department Records Coordinators (RC)

- Create and maintain the file plan of department records.
- Work with SMEs to update departmental file plan annually, and provide file plan to the RM.
- Oversee the disposition of department records by transferring long-term records to an authorized long-term repository such as SharePoint or network drives, and/or documenting disposition of local, eligible records.

2.5 Document Owners/Authors

- Ensure all records to which you are assigned ownership are managed according to its relevant retention requirement according to your departmental file plan.
- Work with the RC to complete the annual departmental file plan.
- Participate in annual departmental essential records inventory

3.0 Program Description

3.1 Department Records Coordinators shall:

- Work with department records SMEs to use the RM-provided template to create and maintain a current record file plan 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 (“Implementation Procedures”).

3.2 Implementation Procedures for this policy will:

- Address the processes by which RCs manage a record’s:
 - **Identification:** identify if the record is an official department record or a copy of a record for which another department is the office of record.
 - **Storage:** determine the most appropriate filing location for the record.
 - **Retrieval:** ensure the record is retrievable by authorized staff who need to access it.
 - **Protection:** establish permissions to prohibit unauthorized entities from accessing the record.
 - **Retention:** keep the record as long as the relevant records schedule instructs.
 - **Disposition:** provide records@jlab.org with an inventory of the records which have fulfilled their retention period. RM approval is needed to delete, shred or dispose of records at the end of their required retention period.
- Describe the requirements for staff that create and/or receive government records.
 - File records in folders or collections relevant to the record, such as in a project or correspondence folder.

- Records must be filed in a manner that allows others with permission to access the record to do so.
 - Appropriate access permissions must be applied to records to prevent unauthorized access.
- All records should be inventoried on the department's file plan.

4.0 Definitions and Abbreviations

NOTE

Copies of records are considered non-records; however, copies of records should not be retained longer than the actual record itself.

- **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.
 - 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 Reference and Related Procedures

- [48 CFR \(DEAR\) 970.5204-3 "Access to and Ownership of Records"](#)
- [48 CFR 970.5232-3 "Accounts, records and inspection"](#)
- [DOE O 241.3C, Contractor Requirements Document \(CRD\)](#)
- Jefferson Lab's Management and Operations (M&O) Contract
- [Jefferson Lab's Quality Assurance Program \(QAP\) Description](#)
- [Jefferson Lab's Records Management Handbook](#)

- [Records Management for Records Coordinators Procedure](#)
- [Records Management for Individuals Procedure](#)

6.0 Revision History

Revision #	Revision or Update:	Effective
2	Periodic 3-year document review. Added requirements from DOE 0 243.1C	12/15/2023
1	Periodic 3-year document review. Reformatted document to new QA/CI procedure format. Reapproval signatures not required.	01/20/2018
Qualifying Periodic Review	Periodic 3-year document review. No changes required	01/13/2015

7.0 Approvals

Approved by	Signature	Date
Records Manager	Kim Kindrew Original signature on file # 218	12/15/2023
PA Manager	Steve Smith Original signature on file # 218	12/15/2023

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