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, (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:

- C.3.2.8 Information Resources Management
- I.92 DEAR 970.5204-3 Access to and Ownership of Records (OCT 2014) (DEVIATION)
- I.120 DEAR 970.5232-3 Accounts, Records, and Inspection (DEC 2010)

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.
1.2 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.

A record is 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. A record:

- 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)

2.0 Roles & Responsibilities

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

2.1 Chief Information Officer (CFO)
- Appoint the Jefferson Lab Records Administrator (RA).

2.2 Department Managers
- Appoint department record coordinator(s)(RC)

2.3 Records Administrator
- Provide training and guidance for records coordinators/creators.
- Develop records management documentation and forms.
- Oversee all facets of records management including final disposition of Jefferson Lab records.
2.4 Records Coordinators (RC)
   - Create and maintain the inventory of department records.
   - Oversee the disposition of department records.

2.5 Staff, Users, and Subcontractors
   - Understand and follow this policy and its implementing procedures.

3.0 Expectations

3.1 All Departments
   - Create 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 ("Implementation Procedures").

3.2 Implementation Procedures
   - Address the processes by which records coordinators manage a record’s:
     o Identification
     o Storage
     o Retrieval
     o Protection
     o Retention
     o Disposition
   - Describe the requirements for staff that create and/or receive records that must be managed.

4.0 Definitions & Reference

4.1 Definitions
   - **Record:** A record is 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. A record:
   - **Managed Record:** A record requires record management if it:
     o Documents the organization, function, processes, policies, decisions, procedures and essential transactions regardless of physical format or characteristics
     o Is necessary to protect the legal and financial rights of DOE, JLab/JSA, and persons directly affected by activities at JLab
     o Documents compliance (e.g., records applicable to 10 CFR 851.26(4))
     o Is received from outside JLab but used to perform and/or direct work, (e.g., letter from DOE)
NOTE: Copies of records do not need to be managed

4.2 References

Jefferson Lab’s Quality Assurance Program (QAP) Description
48 CFR (DEAR) 970.5204-3 “Access to and Ownership of Records”;
48 CFR 970.5232-3 “Accounts, records and inspection”
Records Management for Records Coordinators Procedure
Records Management for Individuals Procedure

5.0 Revision Summary

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<th>Revision</th>
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<th>Effective date</th>
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<td>Periodic Qualifying Review</td>
<td>No changes necessary. Updated template only</td>
<td>03/01/2020</td>
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<tr>
<td>Qualifying Periodic Review</td>
<td>Periodic 3-year document review. No Changes Required</td>
<td>01/13/2015</td>
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<td>Periodic 3-year document review. Reformatted document to new QA/Ci procedure format. Reapproval signatures not required.</td>
<td>1/20/2012</td>
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6.0 Approvals

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<tr>
<td>Document Custodian</td>
<td>Kim Edwards - signature provided in e-mail dated 01/13/2015</td>
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<td>Performance Assurance Manager</td>
<td>Stephen Smith</td>
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