1.0 Procedure Overview

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:

- 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.
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)

## 2.0 Roles & Responsibilities

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<thead>
<tr>
<th>Role</th>
<th>Responsibilities</th>
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<tbody>
<tr>
<td>Chief Information Officer (CIO)</td>
<td>• Appoint the Jefferson Lab Records Administrator (RA).</td>
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<td>Department Managers</td>
<td>• Appoint the departmental records coordinator(s).</td>
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<td>Jefferson Lab’s Records Administrator (RA)</td>
<td>• Provides training and guidance for records coordinators/creators.</td>
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<td>• Develops records management documentation and forms.</td>
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<td>• Oversees all facets of records management including final disposition of</td>
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<td></td>
<td>Jefferson Lab records.</td>
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<tr>
<td>Department Records Coordinators</td>
<td>• Create and maintain the inventory of department records.</td>
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<td>• Oversee the disposition of department records.</td>
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All Jefferson Lab Employees, Users & Subcontractors

• Understand and follow this policy and its implementing procedures

3.0 Expectations

Each department will:

• 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”).

Implementation Procedures for this policy will:

• 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 & References

Definitions

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

• 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 JLab but used to perform and/or direct work, (e.g., letter from DOE)

NOTE: Copies of records do not need to be managed.
References
Jefferson Lab’s Quality Assurance Program (QAP) Description
48 CFR (DEAR) 970.5204-3 “Access to and Ownership of Records”;
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.”
Records Management for Records Coordinators Procedure
Records Management for Individuals Procedure

5.0 Revision Summary

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<tr>
<th>Revision #</th>
<th>Reason for revision or update:</th>
<th>Effective date:</th>
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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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<tr>
<td>1</td>
<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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<th>Signature:</th>
<th>Date:</th>
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<tbody>
<tr>
<td>Document Custodian</td>
<td>Kim Kindrew</td>
<td>approved via 1/13/2015 email</td>
<td>1/13/2015</td>
</tr>
<tr>
<td>QA/CI Manager</td>
<td>Stephen Smith</td>
<td>approval not required</td>
<td>1/13/2015</td>
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