Records Management for Records Coordinators (RC) Procedure
(This is a Class 3# Document)

1.0 Overview

1.1 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 and Transferring of records
- Managing special records:
  - Archival
  - Vital
  - Privacy

This procedure implements requirements of the lab’s Records Management Policy.

1.2 Scope

This procedure applies to all Jefferson Lab records.

1.3 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 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 Jefferson Lab.
• 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:** A record is any recorded information, regardless of medium or characteristics, made or received by the laboratory that is evidence of its operations, and has value requiring its retention for a specific period of time.

**RIDS:** Records Inventory and Disposition Schedule—a listing of record series and their retention periods.

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

**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).

## 2.0 Roles & Responsibilities

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

### 2.1 Records Administrator (RA)
- Train RCs
- Assist RCs in managing their records
- Routinely review and approve Records Inventory and Disposition Schedules (RIDS) submitted by records coordinators
- Disposal of records

### 2.2 Department Managers/Project Managers
- Appoint one or more RCs within the department
- Add RC training to each records coordinator’s Skills Requirement Lists

### 2.3 Records Coordinators (RC)
- Complete RC training
- Use this procedure to manage departmental records
• Maintain an up-to-date inventory of departmental records, adding and removing as needed
• Serve as the department’s “local expert” on records management
• Know where department records are stored (file cabinets, computer directories, etc.)

3.0 Process Steps

3.1 Create & Maintain an Inventory of Departmental Records

NOTE: Records are inventoried by series, and have the same retention period.
• RC is familiar with all records inventoried as department records
• RC completes routine review of RIDS and sends to RA
• 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.

3.2 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 (Excel spreadsheet).

• 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 (ie. migration to newer formats).
  4. Electronic records must be retained according to federal and DOE guidelines, and may be deleted with permission from Records Management.
3.3 Retrieving Stored Records

To retrieve a record from storage:
1. Use the Records Management Storage Log (Excel spreadsheet) to identify the box(es) or folder(s) needed.
2. Complete and submit the Records Storage and Retrieval Form to the RA.
3. The requested box(es) or file(s) will be delivered within 24 hours if stored on-site.

3.4 Disposing of Records

- Records are held until they have reached the end of their retention period as specified in the RIDS.
- When centrally stored records reach their disposition date the RA submits an Authorization for Destruction of Records to the RC.
- The RC submits the Authorization for Destruction of Records to the cognizant manager. The Manager 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.

3.5 Managing Archival Records

- 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.

3.6 Managing Vital Records

- Vital records include records essential to:
  o the continued functioning or reconstitution of Jefferson Lab during and after an emergency, and
  o protecting the rights and interests of the laboratory and of the individuals directly affected by its activities.
- Identify vital records on the RIDS.
- Ensure protection of vital records from damage resulting from fire, water or other natural or man-made hazards through one or more of these methods:
3.7 Managing Privacy Act Records

- The U.S. Privacy Act applies specifically to certain kinds of records the laboratory is required to maintain:
  - 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 and in some cases is required by the Health Insurance Portability and Accountability Act of 1996 (HIPAA) to restrict access to other potentially sensitive records, including:
  - Personnel medical records
  - Other personnel records, such as employment, performance, discipline, and compensation records
  - Designate privacy records on the RIDS

- 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

4.0 Reference and Related Procedures

Records Management Policy
Records Management for Individuals – Procedure

5.0 Revision Summary

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<th>Reason for revision or update:</th>
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<td>No Changes Necessary. Updated Document Template only.</td>
<td>03/01/2020</td>
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<td>Qualifying Periodic Review</td>
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<td>01/13/2015</td>
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<td>1</td>
<td>Periodic 3-year document review. Reformatted to new QA/CI procedure format.</td>
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## 6.0 Approvals

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<td>Document Custodian</td>
<td>Kim Edwards</td>
<td>Approved via e-mail dated 01/13/2015</td>
<td>01/13/15</td>
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<td>QA/CI Manager</td>
<td>Stephen Smith</td>
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