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

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<th>Document Number:</th>
<th>GEN018kd3</th>
<th>Approval Date:</th>
<th>01/20/2012</th>
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<tbody>
<tr>
<td>Revision Number:</td>
<td>Rev 1</td>
<td>Periodic Review Date:</td>
<td>03/01/2020</td>
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<tr>
<td>Document Owner:</td>
<td>Kim Edwards</td>
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Content Classification:
- **C1** = Contract or Regulatory requirement. Requires TJISO 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 manager(s).

1.0 Overview

1.1 Purpose

This procedure describes how individuals at Jefferson Lab manage the records they create or receive during their Jefferson Laboratory activities. This procedure also implements requirements of the lab’s Records Management Policy.

1.2 Scope

This procedure applies to all Jefferson Lab records.

1.3 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.

**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; 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).

**NOTE:** Copies of records do not need to be managed.
2.0 Roles & Responsibilities

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

2.1 Department Managers, Supervisors, and Subcontracting Officer’s Technical Representatives (SOTR)

- Ensure employees, users, and subcontractors understand and fulfill their responsibilities under Jefferson Lab’s Records Management Policy.

2.2 Records Coordinators (RC)

- Serve as the department’s “local expert” on records management.

2.3 Staff, Users, and Subcontractors

- Understand the laboratory’s Records Management Policy and follow this procedure to implement it.

3.0 Process Steps

3.1 Recognizing Material that Requires Records Management

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.

A record requires record management if it:

- 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).

NOTE: Copies of records do not need to be managed.

3.2 Preserving Records

- Records identified as requiring management are assigned a retention period.
- Records are saved until the end of their retention period. Inactive records may be transferred to the lab’s controlled holding area. The RC manages this transfer.
- Unless they have archival value, records are destroyed at the end of their retention period (see Records Management for Records Coordinators Procedure).
3.3 Managing E-mail and Other Electronic Records

- Keep official and personal email messages separate, filing them in folders by series.
- Email messages are records and are to be retained no longer than necessary, according to retention periods.
- If records are saved in hard copy, the electronic copy may be deleted.
- If records are saved electronically, the hard copy may be disposed of provided scanned electronic records undergo quality checks to ensure they are identical to the hard copy.

3.4 Protecting Privacy

- Understand the lab’s Policy for Personally Identifiable Information (PII) (sign-on required to view).
- Protect PII records.

3.5 Filing Records

- File records in accordance with department’s filing plan in physical cabinets or electronic directories.

4.0 Reference and Related Procedures

Records Management Policy
Records Management for Records Coordinators Procedure

5.0 Revision Summary

<table>
<thead>
<tr>
<th>Revision</th>
<th>Reason for revision or update:</th>
<th>Effective date</th>
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<tbody>
<tr>
<td>Periodic Qualifying Review</td>
<td>No changes necessary. Updated template only</td>
<td>03/01/2020</td>
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<tr>
<td>Periodic Qualifying Review</td>
<td>No changes necessary</td>
<td>01/13/15</td>
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<tr>
<td>1</td>
<td>Periodic 3-year document review. Reformatted to new QA/CI procedure format. Minor editorial changes to the “Managing Email &amp; Other Electronic Records” section. Re-approval signatures not required</td>
<td>1/20/2012</td>
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6.0 Approvals

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<th>Signature:</th>
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<tr>
<td>Document Custodian</td>
<td>Kim Edwards</td>
<td>signature provided in e-mail dated 01/13/2015</td>
<td>01/13/2015</td>
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<tr>
<td>QA/CI Manager</td>
<td>Stephen Smith</td>
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<td>01/13/2015</td>
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