# Records Management for Individuals

## Procedure

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<thead>
<tr>
<th><strong>Document Number:</strong></th>
<th>GEN018kd.3</th>
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<tbody>
<tr>
<td><strong>Revision Number:</strong></td>
<td>Rev 1</td>
</tr>
<tr>
<td><strong>Subject Matter Expert:</strong></td>
<td>Kim Kindrew</td>
</tr>
<tr>
<td><strong>Review Date:</strong></td>
<td>1/13/2015</td>
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<tr>
<td><strong>Periodic Review Date:</strong></td>
<td>1/18/2018</td>
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## 1.0 Procedure Overview

### 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](#).

### Scope

This procedure applies to all Jefferson Lab records.

### 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; 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

### Department Managers, Supervisors, & SOTRs

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

### Records Coordinators (RC)

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

### Staff, Users, & Subcontractors

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

**NOTE:** Management authority may be delegated at the discretion of the responsible manager.
## 3.0 Process Steps & Expectations

### Recognizing Material that Requires Records Management

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.

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/JSIA, 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.

### 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 storage 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).

### Managing Email & 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.

### Protecting Privacy

- Understand the lab’s Policy for Personally Identifiable Information (PII).

- Protect PII records.

### Filing Records

- File paper records in accordance with department’s filing plan.

## 4.0 Reference Documents

- 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</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. Reapproval signatures not required</td>
<td>1/20/2012</td>
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## 6.0 Approvals

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<th>Approved by</th>
<th>Print</th>
<th>Signature</th>
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<tbody>
<tr>
<td>Document Custodian</td>
<td>Kim Kindrew</td>
<td>signature provided in e-mail dated 01/13/2015</td>
<td>01/13/2015</td>
</tr>
<tr>
<td>QA/CI Manager</td>
<td>Stephen Smith</td>
<td></td>
<td>01/13/2015</td>
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