

## E-1. RECORDS MANAGEMENT

### I. SCOPE

The Records Management Office establishes and maintains a comprehensive records management system meeting regulatory and contractual requirements ensuring documentation is readily accessible.

### II. PURPOSE

The purpose of this office is to establish and maintain a cradle to grave records management system that provides the systematic control of records from creation, or receipt, through their processing, distribution, organization, storage, and retrieval to their ultimate disposition.

### III. DEFINITIONS

**Archives** – Archival records are those records identified as having long term historical or research value that must be retained 10 years or greater.

**Disposition** – Disposition refers to the final stage in the life cycle of records. Disposition may be defined as either the destruction or the transfer of records.

**Electronic Record** – Records communicated and maintained by means of electronic equipment.

**File** – A collection of paper records and/or electronic records grouped together by a common subject.

**File Volume** – Chronological sub-groups of the file. When a file holds approximately 200 sheets of paper it should be closed and an additional volume of the file created.

**Record** - A record is recorded information, in any form, including data in computer systems, created or received and maintained by an organization or person in the transaction of business or the conduct of affairs and kept as evidence of such activity. A record can be:

- A document (for example, note of a telephone conversation, meetings, notes of discussion, annotation to a record, completed form, graph, chart, plan, drawing or computer printout);

- A type of correspondence (for example, facsimile, e-mail, voice mail, electronic data exchange, letter, memorandum, minute, message, agenda, contract, certificate, data, database, directory, index, register, or log);
- A form of media (for example, electronic organizers, facsimile, electronic mail, disk, erasable optical disc, video, audio tape, film, photograph, photographic negative, microfilm, microfiche, on-line database, a publication, booklet, newspaper, pamphlet, brochure, map, architectural or building plan, catalog, manuals, reproduction or duplicate of a record or part of a record).

**Records Life Cycle** – The theoretical concept that records have a cycle through which they pass through. The idea proposes that records pass through stages of creation, usage, storage and finally disposition where records are either eventually destroyed or permanently retained.

**Requestor** - Any individual wishing to obtain a copy and/or view a record.

**Retention and Disposal Schedule** – A retention and disposal schedule indicates the minimum length of time (in years) that each type of record regardless of medium must be retained, and dictates the final action on the record. At the end of the retention period, records due for destruction are destroyed and records identified for continuing retention are transferred.

**Retention Period** – The period of time during which records must be kept before disposal; usually stated in years or contingent on an event such as license termination.

**Vital Records (Records of long term value) –**

Vital records are those which:

- Contain information of administrative, legal, fiscal, evidential or historical value essential to the daily operations and are not recorded elsewhere.
- Document the rationale behind policy, staff decisions and directives.

That is a vital record:

- Describes the issue;

- Records who was involved;
- Records why a decision was made;
- Records how a decision was made; and
- Embodies the actual policy.

#### IV. **RESPONSIBILITIES**

- A. Director, EHS -- will review and authorize established retention/disposal schedules to ensure all record types managed by the Records Management Office are held in accordance with regulatory and contractual requirements.
- B. EHS Supervisors -- will ensure all personnel comply with the procedures set forth below.
- C. EHS staff will provide applicable records for inclusion in the Records Management System (RMS).
- D. Records Management Office -- is responsible for over-seeing the proper control, processing, and storage of all file media including but not limited to the indexing and scanning of records into the electronic RMS ensuring the confidentiality of such records.

#### V. **GENERAL**

- A. Records maintained by the Records Management Office are managed in accordance with applicable laws and regulations.
- B. All medical records are maintained as confidential and remain in OHS.
- C. Hardcopy records received by the Records Management Office, wherever possible are on standard 8" x 11" letter size paper, in any color ink, handwritten or typed, and must be legible. The best available copy of any record is required for inclusion into the recordkeeping system.

#### VI. **PROCEDURES**

- A. Records Acquisition
  - 1. EHS staff provides to the Records Management Office copies of records, in any form, created, received, and/or maintained in the conduct of business for inclusion into the RMS.

B. Records Control, Processing, and Storage

1. Records are electronically scanned and indexed into the RMS. Hard copies are filed according to the established retention/disposal schedules. Annually the files and file volumes are reviewed to ensure adherence to regulatory and contractual requirements as well as established retention periods and their ongoing effectiveness. Upon this review it is determined, regardless of the record medium, the final action to be taken. Final actions are as follows:
  - a.) Destruction,
  - b.) Transfer to archives, or
  - c.) Remain as part of the active file system

C. Records Retrieval

1. Requestors wishing to retrieve documents from the RMS include, but are not limited to:
  - a. Employees and their designated representative(s) - maintain access to all information related to the employee's activities at NCI-Frederick (e.g., detailed exposure reports specific to their activities, etc.);
  - b. Principal Investigators, Lab Chiefs, Program Managers - maintain access to information relating to employees and project activities under their supervision where the information is not excluded from their access under the Privacy Act or other applicable regulations or policy;
  - c. EHS - maintains access to all records within the RMS as required by their job responsibilities. Note that all information will be viewed as confidential and handled as such where required by existing regulations and best management practices;
  - d. Legal representatives and regulatory agencies - maintain access to records as applicable by law.

**VII. RECORDS MANAGEMENT OFFICE RECORDKEEPING SYSTEM**

The Records Management Office currently maintains both an electronic and conventional hard copy RMS. Due to the large volume of EHS records (i.e. active, inactive, vital) the use of dual systems will ensure a gradual and transparent transition to a total electronic RMS. Regardless of the RMS type all records are processed in accordance with the current retention schedule, established EHS SOPs, regulatory and contractual requirements.