FERMI NATIONAL ACCELERATOR LABORATORY

Employee Records Management Handbook

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Fermilab Employee Records Management Handbook

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Why Records Management?

The goal of records management is to identify and maintain records that document Fermilab's organization, functions, policies, procedures, decisions, and essential transactions of projects and research.

The Department of Energy (DOE) and Fermi Research Alliance (FRA) require that "record" information be controlled, maintained, appraised and disposed of properly.

Records management provides a rational basis for deciding what recorded information should be saved, discarded, or preserved.

Why are Records Important?

While most of us might not be aware that we are creating and handling Federal records, each of us creates and manages information that we consider to be *important.* As a Fermilab employee, you might make decisions or create or handle information that affects the legal, fiscal, administrative, or research needs of the laboratory.

This handbook is intended to provide a general understanding of Fermilab records, how to recognize if you have created or received a record, and then what to do with it.

The creation of adequate documentation and the preservation of Federal records are required by law. As a Federal contractor, we have federal record-keeping responsibilities.

What are the benefits gained by Records Management?

- Increased accessibility to information – faster search and retrieval
- Improved efficiency and productivity
- Reduced workload, redundancy, paperwork, and clutter
- Reduced operating costs
- Retention and reusability of organization knowledge
- Safeguard vital information
- Improved regulatory compliance
- Facilitates the legal process
- Better support for management decision-making
- Preservation of our corporate memory and scientific research

What is a Fermilab Record?

A record captures information of lasting value about Fermilab's mission, organization, business functions, policies and procedures, decisions, projects, and research.

A record preserves the official, final, and authoritative version of the evidence of those events or activities.

Any item that has important historical value to Fermilab might be a record.

The physical evidence of a record can be in any form or format. It could be electronic in a computer, on paper, or be in some other machine-readable form. It might be a report, a chart, a video recording, or even an artifact.

Simply put: A record documents decisions, actions, and functions.

Examples of Records

Remember, records are the complete and final products that serve as evidence of you or your department's functions, policies, decisions, and procedures.

- Electronic or hardcopy logbooks maintained by an experiment
- Procedures
- Training test results and class handouts for critical safety courses
- Medical Charts
- Industrial Hygiene Monitoring
- Final Reports Generated by the Environment Safety & Health Section
- Time Sheets maintained in Payroll
- Signed Purchase Requisitions
- ProCard Documentation
- Final reports issued by committees
- Conference Files
- Official Personnel Records
- Travel Voucher Reimbursement Forms
- Magnet travelers (includes magnet assembly instructions, approval sign offs, measurements, testing documentation)
- Completed Drawings
- Signed (digital or hardcopy) Correspondence that Requires Action
- Organization Charts
- Team Center Engineering documents

Record Identification Questions

If you can answer yes to any of the following questions, you have a record.

- Do you need it to prove something did or did not occur?
- Do you think an auditor would require you to retain it?
- Could it be used to resolve a dispute in the future?
- Does it support the major business of your department ?
    - Significant communication with another department?
    - Documenting activities regarding an important matter?
- Does it have business, legal, R&D, scientific, or historical value?
- Does it fit into your Department's File Plan? File Plans for each Department can be found at the Fermilab Records Management Homepage http://bss.fnal.gov/records.

What is not a Fermilab Record?

*** Most documents are not records ***

Here are examples of items that are not records:

Non-Records

Non-records can be disposed of in the office after they have served the needs of the office.

- Extra copies of documents no longer needed for distribution
- Items used as reading, reference, or memory aids
- Personal notebooks or journals
- Any technical or operating information sent to you for review
- Personal emails
- Stock and vendor catalogs
- Publications from other agencies
- Information that is not generated by Fermilab, but used by the office as a reference

Production Papers

Most production papers are not records:

- Rough notes, calculations, or drafts
- Background materials
- Communications useful to recall specific events, activities, and actions

Temporary Files

Most temporary files are not records:

- Routine material that facilitates day-to-day functions, but does not set policy, establish guidelines or procedures, certify a transaction, or become a receipt
- Any information of only short term interest
    - Documents used for reference
    - Vacation requests
    - Routine communications
    - Notices circulated to everyone

Personal Papers

Personal documents that relate to your own affairs are not Fermilab records.

What is a Record Lifecycle?

Remember, a record is a final form of information, in any format, preserved because it is evidence of business functions or is of historical value.

Records are created, retained for some period of time, and then disposed of. At Fermilab, we handle records in many formats (paper, electronic, videos, photographs, etc.) that are useful for some period of time. This process, from creation through disposition, is called a "Record Lifecycle."

Every record goes through these lifecycle stages:

1. Creation: You receive or create a record (See the section "What is a Fermilab Record?")

2. Maintenance: A record is active when it is either in use, being amended, or being revised by you, your group, or Division/Section/Center (D/S/C). We maintain records because they are essential for business, administrative, legal, scientific research, safety, environmental, or other purposes. To maintain a record's usefulness, it needs to be filed using a scheme that makes it easily identifiable and retrievable

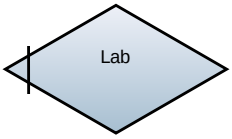
3. Retirement: When a record is no longer needed for its initial use, it becomes inactive. At this point in its lifecycle, a record is retained for a predetermined amount of time depending on its importance. For example, if a record deals with human health, the environment, compliance, or safety interests it generally requires a longer retention period than other records

4. Disposition: Records disposition is the final stage in the record lifecycle. Disposition may mean transfer to the federal National Archive (if it's really important), donation to a government or non-government entity, or destruction. Timely and legal destruction of records helps to enhance efficiency, lower storage costs and minimize the exposure to litigation on records no longer needed by Fermilab.

   Some records may be preserved for historical value or for use by researchers. These records could include "one of a kind" types of records documenting such things as engineering or magnet construction that cannot be found anywhere else outside of Fermilab or because they document the scientific research conducted at our Laboratory. See the Handbook section on "What is a Retention and Disposition Schedule?"

Figure 1 on the following page follows a record from its creation, assignment of its retention, through its active life cycle to disposition.

Record Lifecycle Flowchart (Figure 1)



Who is responsible for Records Management?

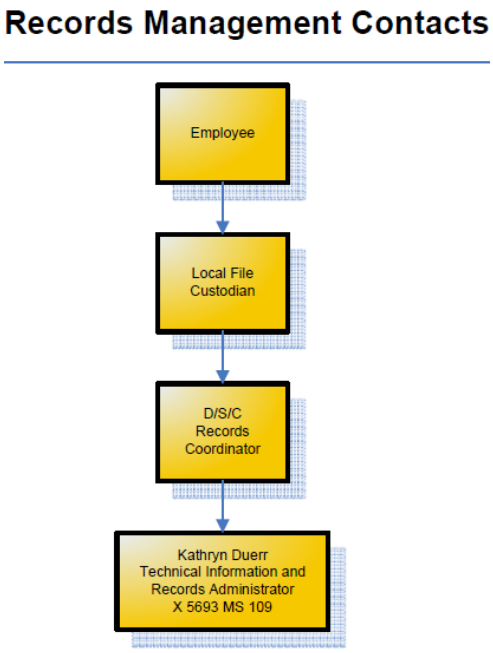
The Fermilab Records Administrator manages the system to retain and preserve records and provides assistance on records questions.

At the local level, File Custodians assist employees in the identification, inventory and maintenance of records in the workplace.

The Records Coordinator is the primary point of contact between the Records Administrator and the D/S/C, communicating records information to the local File Custodians and clearing departing employees as part of the records checkpoint in the employee exit process.

As a Fermilab employee, you also have records management responsibilities:

- To manage records as part of your job duties:
  - Become familiar with Fermilab's records management procedures (http://bss.fnal.gov/records/index.html)
  - Find out who is your local File Custodian and the Records Coordinator for your D/S/C
  - Understand the definition of a record
  - Maintain records for the duration of their retention periods and then dispose of them
  - Identify any records in your possession at the time you are about to leave Fermilab so they can be re-assigned to a new owner, sent to storage or disposed of in accordance with federal retention schedules



- To work with your local File Custodian and Records Coordinator:
  - To review the files you maintain in your office or work area and identify items used for reference versus actual records that need to be maintained
  - To develop a simple and easy-to-use file plan for your records
  - To send inactive records to storage until their retention period is reached, especially if office space is limited
  - To dispose of records which have reached their authorized retention period. Ask for assistance from your local File Custodian or D/S/C Records Coordinator on the established procedure to follow

What is a Retention and Disposition Schedule?

The Department of Energy provides tools to help determine how long to keep records (retention) and what happens to records at the end of that time period (disposition). These are called Retention and Disposition Schedules.

A Records Disposition Schedule (RDS) is a comprehensive listing and description of records showing all legally authorized actions to be taken in relation to the retention and disposition of the records. They provide for cutting off records in increments of time (usually at the close of a fiscal or calendar year) and legally disposing of them.

In these schedules, records are grouped by major headings such as personnel, payroll, procurement, budget, travel, communications, engineering, audiovisual, audits, R&D, facilities management, and security records (to name a few). The major headings are further divided into sub-listings with retention and disposition periods assigned to each one. These schedules often distinguish between records found at various organizational levels (from operating levels to the more significant records that represent consolidated summaries at the Directorate); their retention periods will be different.

Be aware that the authoritative "official record" might not reside with the person who created it. Here is an example: the original travel authorization request filled out by an employee once submitted becomes a Fermilab record and is maintained by the Fermilab Travel Office. The employee may keep a copy for traveler convenience or as a memory aid, but it is a non-record copy.

Each of the Laboratory's D/S/C is responsible for developing file plans for their offices and departments according to these retention schedules. See your local File Custodian for questions regarding records, how long to keep them, and when to dispose of them. If there are further questions, contact the Records Coordinator in the D/S/C Office. Occasionally, a record may be kept for longer than its original disposition date, depending on its content and the future business or research need for the record. These instances should be documented through the Records Coordinator for your D/S/C.

The Fermilab Records Management Program homepage, http://bss.fnal.gov/records, lists File Plans for each department. Your department's File Plans can help you to organize your records.

Records that contain Personally Identifiable Information (PII) require special handling. Please see Fermilab's PII policy.

- Director's Policy for PII

http://www.fnal.gov/directorate/Policy_Manual.html

- Fermilab Procedures for Protected PII
  http://security.fnal.gov/Policies/PII%20Procedures-final-clean.htm

Electronic Records and Email

Because much of Fermilab's history is recorded in electronic format, it is important to remember that an electronic document that meets the definition of a "record" must follow a lifecycle and be retired and disposed of in accordance with the appropriate retention schedule. While an email message is not considered a record, it may have content that should be processed as a record.

Until a formal Electronic Document Management System (EDMS) policy is in place, use the following suggestions to manage electronic documents and records created or received in the email system.

Electronic Records must be:

- Trustworthy: The information is reliable and authentic
- Complete: The information includes the record's creator, its date, time of creation, and data type
- Accessible: The information is easily reached
- Durable: The information is stored on a physical medium that ensures its permanency

Electronic Documents

It is best to group electronic documents together according to retention dates when stored to a server or a medium such as compact disc.

When storing your electronic documents, it's best to do so according to "series, " that is, a filing system that maintains subjects or functions together with the same activity or topic. For example, documents pertaining to one specific project should be saved together in a specific folder. It then becomes easier to handle the "record series" as a unit for disposition purposes.

There are two considerations for the long-term retention of electronic records:

- Conversion of file formats
- Migration between computer platforms, storage media, or physical formats

In either case the content of the record must not change and the accessibility of the record must be maintained.

Email

The purpose of the Fermilab email system is to facilitate communications. The majority of email messages sent or received are not records because they are either transitory in nature or non-business related. Most email messages with short-term interest are managed through local email folders.

It should be noted that the email system is not a place to store records. Email messages that meet the definition of a record should be transferred from the email system and stored on a separate server in compliance with records management requirements. Most departments and individuals have local systems for managing records, regardless of format.

For guidance on how to handle records created or received in the email system, see the procedures at http://bss.fnal.gov/records/Policy_Records_Email.pdf

Electronic Records Retention

Here are a few guidelines to help manage electronic records:

- Keep official and personal electronic documents separate
- Save to a standard format such as a Portable Document Format (PDF), Post Script (PS), or text file
- Use folders named according to their type or series to store documents
- Save records into a specific folder on a backed-up drive or server, not on your computer. (You may keep unofficial copies on your computer.)

Contact your local File Custodian or D/S/C Records Coordinator for assistance.

Research Records

Fermilab experiments have established a policy on managing research records that ensures a consistent approach. This policy is supported by detailed procedures to guide staff in fulfilling their responsibilities for managing the records arising from their research activities.

The creation and maintenance of records is important to the research process. Complete, authentic, and reliable records are required to:

- Demonstrate good research practice and strengthen the reliability of research evidence
- Safeguard researchers and experiments from allegations of research misconduct
- Protect individual and institutional intellectual property rights

What are Research Records?

Research records have a little broader reach than normal records. Examples would include: collaboration notes, scientific papers, technical drawings, photographs, logbooks, and significant correspondence about the Lab's research created by employees, guest scientists, visitors, and members of the major collaborations using Fermilab facilities.

Some of these records may have long-term historical value that will not be discernible for a number of years depending on the nature or progress of the research. Personal notes and notebooks are generally not managed as records, though they might become useful from a historical view.

Managing Research Records

Research records are created and managed by various organizations and at different levels, from the Directorate down to individual experimenters. Their responsibilities include:

- Maintaining the official records of research
- Guiding the projects throughout the entire project lifecycle
- Determining retention periods according to DOE requirements
- Maintaining an 'archive' of research records, particularly research data

The Fermilab experiments are responsible for managing their research records. If you take part in these activities, you will be given instructions by your experiment on how to manage them.

In the case of the Collider Detector at Fermilab (CDF) and DZero, records are grouped together and maintained as a whole in what are known as "project case files," these being the CDF and DZero Notes. These project case files allow for the

chronological reconstruction of relevant analyses and decisions regarding the research. Other experiments also store records electronically and provide access via experiment web pages.

Papers, technical memos, and theses written by a Fermilab employee, visitors, guest scientists or members of a collaboration, or that include Fermilab employees in the authors list, or describe work done using Fermilab facilities must receive a Fermilab publication number. This includes papers contributed to conferences, workshops, symposiums and publications. The Fermilab Technical Publications Office maintains the official record for the laboratory. Experiments and/or experimenters may have non-record copies. For further details, see the Fermilab Technical Publications webpage at http://bss.fnal.gov/techpubs/index.html

Retention

DOE schedules for research records call for distinct disposition requirements only after a thorough evaluation to assess their lasting research value. For instance, the retention schedules for experiments that develop significant techniques, "first-of-its kind" processes, or have implications for future research are very long and might include transfer to the National Archives and Records Administration.

Records management staff, scientists, engineers, and the experiment's spokespersons will review and evaluate the experiment's records at project closure and determine retention dates.

Records Storage

Ongoing experiments maintain their own research records. The experiments store electronic records online. Physical records such as magnetic tapes, log books, etc. are either stored with the experiment or at an offsite records storage facility. Records stored at the offsite facility can be easily retrieved for ongoing research needs.

As experiments end, researchers bring together all of their records and coordinate their transfer to the offsite facility through the Lab's Records Administrator.

Research records are the legacy of the experiment and require special attention.

If you have research records that require evaluation for retention purposes, contact your D/S/C Records Coordinator or the Fermilab Records Administrator.

Identifying Historical Material and What to Do with these Records

Historical material consists of the records and artifacts of an organization preserved because of their continuing or enduring value.

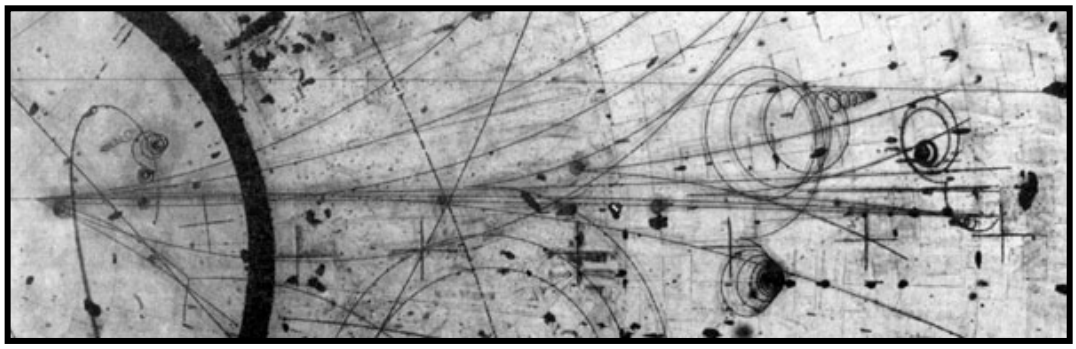
The collection of records created at Fermilab includes its institutional memory; some records may have historical value, an irreplaceable asset that is often overlooked. Every business day, we create records that could become background data for future decisions or planning. These records also document the activities future scholars may use to conduct research and to write about Fermilab's functions, scientific discoveries, or even to publish biographies of Nobel Prize recipients.

Because historical records have permanent value, they require special attention to ensure their preservation and continued use. The onsite Fermilab Archivist ensures these records are properly appraised, evaluated in terms of continued retention, and stored for long-term retrieval and access.

If you are uncertain about the historical value of documents or lab artifacts, do not discard them. Contact your D/S/C Records Coordinator to schedule an appraisal with the Fermilab Archivist to preserve these valuable permanent records.

Examples of historical or archival records:

- Experimental results and artifacts
- Photographs of conferences, awards ceremonies and special events
- Drawings and designs of experimental apparatus and technological innovations



Records Management Contacts and Resources

Contact any of the following people if you have questions about managing your records:

- Your local File Custodian
- Your D/S/C Records Coordinator
- Technical Information and Records Administrator (currently Kathryn Duerr, kadnz@fnal.gov, ext. 5693, Mail Station 109)
- Information Resources Manager (currently Heath O'Connell, hoc@fnal.gov, ext. 6017, Mail Station 109)

The lab-wide listing of File Custodians and Records Coordinators is found at the Fermilab Records Management website as well as additional information on records (http://bss.fnal.gov/records/index.html).

Glossary of Terms

ACTIVE RECORD

Records necessary to conduct the current business of an office and therefore generally maintained in office space.

ADMINISTRATIVE RECORDS

Those records created in performing common facilitative functions that support business activities such as budget and finance, human resources, equipment and supplies, facilities, property, etc.

ARCHIVES

1. The records of an organization preserved because of their continuing or enduring value
2. The organization or agency responsible for appraising, accessioning, preserving, and making available permanent records. Also called Historical agency. In the U.S Government, the National Archives and Records Administration (NARA)

CUTOFF

Closing files at the end of the fiscal or calendar year, to permit their disposal or transfer as a group or unit and to permit the establishment of new files. Commonly used in retention schedules as in "cutoff files after project completion or in 5 year blocks."

DISPOSAL

The actions taken regarding temporary records after their retention periods expire and consisting usually of destruction or occasionally of donation.

ELECTRONIC MAIL

The process or result of sending and receiving messages in electronic form via remote computer terminals.

ELECTRONIC RECORD

Any information that is recorded in a form that only a computer can process and that satisfies the definition of a record.

FILE CUSTODIANS

File Custodians act as a resource on records questions at the local workplace level, assisting other employees in the identification, inventory and maintenance of records in the workplace. This also includes periodic cleanouts/housekeeping campaigns to keep the amount of non-records at a minimum and the storage of inactive records.

INACTIVE RECORDS

Records no longer required to conduct business that are being maintained until their retention periods are met in order to be disposed.

NON RECORDS

Non-records are document that do not meet the definition of a record. Extra copies of documents kept only for reference, stocks of publications, library or museum materials intended solely for reference or exhibit are examples of non-records.

PERMANENT RECORDS

Records having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal, or fiscal purposes. Sometimes called Historical or Archival records.

PERSONAL PAPERS

Documents belonging to an individual that are used exclusively for an individual's own convenience and not to conduct business. These are not Federal records.

RECORDS

Records are information, regardless of physical form, made or received by an organization in connection with the business of the organization that is deemed worthy of preservation for its documentary or informational value.

RECORDS ADMINISTRATOR

The Records Administrator manages the Laboratory's system to retain and preserve records, coordinates responses to DOE about Fermilab records, communicates records information to the D/S/C through their Records Coordinators and provides assistance on records questions.

RECORDS COORDINATOR

The Records Coordinator is the primary point of contact between the Records Administrator and the D/S/C, communicating records information to the local File Custodians and clearing departing employees as part of the records checkpoint in the employee exit process.

RECORDS MANAGEMENT

The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records to achieve adequate and proper documentation of Federal policies and transactions.

RECORDS SERIES

A grouping of like records filed together because they relate to the same subject or function or because they document a specific kind of transaction. Generally handled as a unit for disposition purposes. They may deal with a single project or a function such as accounts payable invoices for a specific year or labor reports for a specified period of time.

RECORDS SCHEDULE

A document that describes records, establishes a period for their retention, and provides mandatory instructions for what to do with them when they are no longer needed for current business. Also called records disposition schedule, records control schedule, records retention schedule, records retention, and disposition schedule.

RETENTION PERIOD

The length of time that a record is kept.

TRANSITORY DOCUMENTS

Transitory documents are documents of short-term interest having no evidential value. They are disposable.

VITAL RECORDS

Records needed to ensure the continuity of essential functions during an emergency or disaster and the resumption of normal business thereafter. These records protect the legal and financial rights of an organization and of the individuals directly affected.

WORKING FILES

Documents such as rough notes, calculations, or drafts assembled or created and used to prepare or analyze other documents.

Appendix A: Business Processes and Record Ownership

Fermilab Business Process Owners
These units have ownership for all records on the following subjects. This guide is intended for use in deciding who maintains the official records of activities involving various parts of the Laboratory to avoid a duplication of records; it is not an exhaustive list. Further information on Fermilab Business Processes can be found at the Fermilab Office of Quality and Best Practices website.

ES&H	Environment, health and safety
BSS-FD	Fire drills, incidents, burn permits.
BSS-IRD	Technical publications
BSS-Procurement	Purchase orders (but not initial supporting documentation for requisitions), , purchasing contracts
BSS-Property	Property, including scrap metal, transfer forms, documentation
BSS-Security	Traffic notices, site security plans and procedures, contractor ID files
BSS-Telecom	Telephone, wireless, radio
BSS-Transport	Vehicles, receiving, shipping and distribution
DO-Finance	All travel documents, payroll, budgets
DO-Internal Audit	Internal Audit Reports and Management Responses
DO-Legal	FOIA requests
DO-OQBP	Quality Assessments
FESS	Facility, roads and grounds maintenance
WDRS-Education	Laboratory education program, Prairie restoration
WDRS-EEO	GEM, SIST and TARGET student, Affirmative Action, Litigation case files
WDRS-Employment	Employee performance, non-EEO grievance, labor management,
WDRS-OPOD	Tuition, training, tuition assistance
WDRS-R&S	Employee personnel files

WDRS-Users	Visitor files, visa/immigration