Records Management

General Training

Why Records Management?

- The goal of records management is to identify and maintain records that document Fermilab's organization, functions, policies, procedures, and decisions on 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 or visitor, you might make decisions or create or handle information that affects the legal, fiscal, administrative, or research needs of the laboratory.

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

What are the Benefits of Records Management?

- Improved efficiency and productivity
- Reduced workload, redundancy, paperwork, and clutter
- Reduced operating costs
- Preservation of our corporate memory and scientific research
- Improved regulatory compliance
- Facilitates the legal process

What is a Fermilab Record?

- A record captures information of lasting value about Fermilab's mission, organization, business functions, operations, policies and procedures, decisions, projects and research.
- A record preserves the official, final, and authoritative version of the evidence of those events or activities.
- Records can be in any form or format, electronic or paper.

Examples of Records

- Logbooks: Electronic or Hardcopy
- Procedures
- Time cards maintained in Payroll
- Signed purchase requisitions
- ProCard documentation
- Official meeting minutes
- Official personnel records
- Magnet travelers (includes magnet assembly instructions, approval sign offs, measurements, testing documentation)
- Completed drawings
- Correspondence that requires action
- Organization charts

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 what you do?
  - Communicating with another department?
  - Documenting activities regarding a particular matter?

- Does it have business, legal, R&D or scientific, or historical value?

What is NOT a Fermilab Record?

Most documents are not records

- **Non-Records**
  - Extra copies of documents no longer needed for distribution
  - Any technical or operating information sent to you for review
  - Personal emails/papers
  - Information that is not generated by Fermilab, but used as a reference

More examples of Non-records

- **Production papers**

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

- **Temporary files**

  - Routine material that facilitates day-to-day operations, but does not set policy, establish guidelines or procedures, certify a transaction or become a receipt.
  - Notices circulated to everyone
  - Documents used for reference

What is a Record Lifecycle?

Every record goes through these stages

- **Creation** - you receive or create a record

- **Maintenance** - a record is active when it is either in use, being amended, or being revised by you, your group, or a Division/Section/Center. 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.

- **Retirement** – when a record is no longer needed for its initial use, it becomes inactive. At this point, a record is retained for a predetermined length of time according to the DOE Disposition schedules.

  https://energy.gov/cio/guidance/records-management/disposition-schedules

- **Disposition** – when the retention period is finished, the record will either be destroyed or transferred to the National Archives for permanent retention.

DOE Disposition Schedules

- Fermilab is required to use the DOE Disposition Schedules. These are listings and description of records showing all legally authorized actions to be taken.

  https://energy.gov/cio/guidance/records-management/disposition-schedules

- Fermilab has both Administrative and Programmatic records.

- Administrative records are grouped by major headings such as Personnel, Payroll, Procurement, etc.

- Programmatic records include Environmental and Research & Development records.

- Records cannot be destroyed unless authorized by your Division/Section/Center records coordinator.
- http://ird.fnal.gov/records-management-divisionsectioncenter-contacts/

Personally Identifiable Information

- Records that contain Personally Identifiable Information (PII), such as social security numbers, require special handling.

- Director's Policy for PII

  http://news.fnal.gov/fermilab-at-work/policies/

- Fermilab Procedures for Protected PII

  http://cd-docdb.fnal.gov/cgi-bin/RetrieveFile?docid=2134&filename=PII%20Procedures-final.pdf&version=1

Electronic Records

- Many of Fermilab's records are electronic.
- If your electronic document or email meets the definition of a record it must follow a records lifecycle.
- A DOE disposition schedule must be assigned to the record.
- Electronic records must be:

  - Trustworthy: the information is reliable and authentic

  - Complete: includes the record's creator, time and date of creation and data type

  - Accessible: the information is easily reached

  - Durable: the information is stored on a physical medium that ensures its permanency

Email

- Fermilab's email system is for communication. It is not a place to store records.
- Most email messages sent or received are not records, because they are short-term or non-business related.
- Email messages of short-term interest can be managed through your local email folders.
- Some email messages may have content that should be processed as a record.
- Fermilab Email Records Procedures

  http://ird.fnal.gov/records-management/

Research Records

- The creation and maintenance of records is important to the research process.

- Complete, authentic, and reliable records are required to:

  - Demonstrate good research practice

  - Strengthen reliability of research evidence

  - Safeguard researchers and experiments from allegations of research misconduct

  - Protect individual and institutional intellectual property rights

Examples of Research Records

- Collaboration notes
- Scientific papers
- Technical drawings
- Logbooks
- Publications
- Photographs
- Significant correspondence about Fermilab's research

Managing Research Records

- Fermilab Collaborations are responsible for managing their research records. If you are part of an experiment, you will be given instructions by your experiment on this.

- Research records are created and managed at different levels, from the Directorate down to individual experimenters.

  These 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

Records Storage

- Electronic records are either stored online or on magnetic tape.

- Physical records such as published reports, magnetic tapes, log books, business records, etc., are either stored here at Fermilab or at an offsite records storage facility. Records stored offsite can be easily retrieved.

- To store records offsite, please contact your Division/Section/Center records coordinator http://ird.fnal.gov/records-management-divisionsectioncenter-contacts/

Historical Records

- Historical material consists of records and artifacts and have permanent value.
- The collection of records created at Fermilab includes its institutional memory. These records also document the activities future scholars may use to conduct research and to write about Fermilab's operations, scientific discoveries, or even to publish biographies of Nobel Prize recipients.
- If you are uncertain about the historical value of documents or lab artifacts, do not discard them. Please contact the lab's archivist, Valerie Higgins vhiggins@fnal.gov

Examples of Historical Records or Artifacts

- Experimental results, publications and artifacts
- Photographs of conferences, awards ceremonies and special events
- Drawings and designs of experimental apparatus and technological innovations
- Minutes of meetings leading to research, development and creation of new instrumentation

Records Management Exit Procedures for Departing Employees and Visitors

- Records created or received by Fermilab employees and visitors, are Federal records.
- The Federal Records Act requires Fermilab to remind departing employees and visitors that Federal records may not be removed from Fermilab, or destroyed without proper authorization.
- Prior to departure, you should contact your Division/Section/Center Records Coordinator. http://ird.fnal.gov/records-management-divisionsectioncenter-contacts/
- The maximum penalty for willful and unlawful destruction, damage, or alienation of Federal Records is a $2,000 fine, three years in prison, or both (18 USC 2071).

Records Management Contacts and Resources

- Division/Section/Center Contacts http://ird.fnal.gov/records-management-divisionsectioncenter-contacts/

- Fermilab Employees Records Handbook https://cd-docdbcert.fnal.gov/cgi-bin/cert/ShowDocument?docid=6227

- Technical Information and Records Administrator
  - Kathryn Duerr, kadnz@fnal.gov ext 5693, MS109