

Policy on Records Management

Fermilab Information Management System

Issued: September 19, 2014

Reviewed/Updated: March 1, 2018

1. Purpose

This policy is put into place in order to address the lab-wide management of records at Fermilab.

2. Scope

This policy governs all records at Fermilab, both Government-owned and Contractor-owned.

3. Applicability

This policy applies to Fermilab Research Alliance, LLC (including all legal entities under its exclusive control) and all its employees, contractors, subcontractors, and Fermilab users that generate records to be used by Fermilab.

When this policy applies to subcontractors, it will be explicitly mentioned in the contracting documents.

4. Effective date

This policy goes into effect on September 19, 2014.

5. Policy

It is Fermilab's policy to, in an economical and efficient manner, provide adequate and proper documentation of the administrative and programmatic activity of the Laboratory such as organization, functions, policies, decisions, procedures, and essential transactions.

All persons who work at Fermilab shall manage records, both electronic and hardcopy, in the manner prescribed in the Fermilab Records Management Program (FRMP). The FRMP shall:

- 5.1 Ensure that relevant versions of applicable records are available for effective reference.
- 5.2 Ensure that records remain legible, readily identifiable, and retrievable.
- 5.3 Define provisions for specifying, preparing, reviewing, retaining, disposing, protecting, preserving, changing, traceability, accountability, and retrievability of records per DOE O 243.1B Admin Chg 1 Records Management Program.
- 5.4 Ensure all records are assigned to an owner.

5.5 Ensure that no records are destroyed without notification of the owner.

5.6 Ensure that if a record owner is transferred or leaves Fermilab, the record must be assigned to a new owner.

The requirements, processes, and systems are documented in the [FRMP Handbook](#) and conveyed to the appropriate personnel in such a manner to guarantee understanding and proper use.

6. Definitions

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.

Vital Records are those records needed to ensure the continuity of essential functions during an emergency or disaster and the resumption of normal business operations thereafter.

7. Responsibilities

The Laboratory Director is responsible for all programs and delegates to the Chief Information Officer the management of the Fermilab Records Management Program required by DOE O 243.1B Admin Chg 1, Records Management Program

The Chief Information Officer is responsible for the management of the FRMP.

The responsibility for compliance to requirements starts at the worker level and broadens as it progresses upward through the line organization. The line managers are fully responsible for the execution of their personnel, activities and sites assigned to them, and shall take necessary actions to ensure requirements are implemented and performance is monitored and corrected as necessary.

Overall responsibility for the day-to-day management of the FRMP resides with the Fermilab Records Administrator. The Fermilab Records Administrator shall maintain and update the FRMP Handbook to implement this policy; the Handbook complies with all applicable DOE orders and is for use by all Divisions and Sections (D/S's).

D/S Heads shall appoint a Records Coordinator for their respective areas of responsibility in accordance with the FRMP. Records Coordinators may represent multiple organizations.

Records Coordinators are responsible for ensuring their organization follows the FRMP.

Fermilab General Counsel will notify the Records Administrator whenever there is a need for a Litigation Hold. The notice will identify the type of records to be put on hold.

1. Records Administrator will provide notice to all Records Coordinators for Records identified to be held.
2. General Counsel will notify the Records Administrator if the records held need to be produced.
3. Records Administrator will instruct the Records Coordinators on the time and place to provide the records.
4. General Counsel will notify Records Administrator when the Litigation Hold is ended.
5. Records Administrator will provide notice to all Records Coordinators.

The Chief Operating Officer is the owner of the Vital Records and is responsible for determining the list of these records. The Emergency Manager is responsible for ensuring that copies of the records are accessible in the event of an emergency. The list of Vital Records and their locations shall be shared with the Fermilab Records Administrator, who is responsible for providing DOE with a copy of the current vital records inventory on an annual basis.

The Records Administrator and the Laboratory Archivist shall work together on Records of historical interest.

8. Authorities

The Fermilab Records Management Program shall be maintained in accordance with the requirements of DOE O 243.1B Admin Chg 1, Records Management Program.

9. Owner

Responsibility for reviewing this policy rests with the Chief Information Officer.

10. Review cycle

This policy is to be reviewed every 5 years after issuance.

11. Communication plan

The requirements of this policy shall be communicated through online training and be referenced in other communications available to researchers, such as the Procedures for Researchers documentation.