

8/30/07

Records Management - Employee Termination Procedures

All employees have working records, information or files that are needed to do their job. Prior to an employee's leaving the Lab, these records need to be evaluated to determine if they are non-record copies or original records of continuing work value or historical significance for Fermilab. Once evaluated, the records may be reassigned to another employee, stored offsite, referred to the Lab Archivist or destroyed.

Fermilab's Employment Office will notify the Records Administrator of the termination. The Records Administrator shall contact the terminating employee's Division/Section Records Coordinator, who will assign the matter to the appropriate File Custodian.

The following questions need to be asked by the appropriate File Custodian:

1. What kind of records are they? Administrative or Research & Development/Scientific papers?

Administrative records include personnel, medical, accounting, payroll, procurement, audit, travel and budget records.

Research & Development records include theses, scientific papers, technical drawings, log books, and significant correspondence mentioning important details about scientific research, created by employees, visitors, guest scientists or members of a collaboration, using Fermilab facilities. These are considered by the DOE and FRA as "work for hire" and are DOE records.

A report number needs to be requested for every scientific paper or thesis and a copy of the scientific paper or thesis uploaded to <http://lss.fnal.gov/cgi-bin/getnumber.pl> This includes papers submitted to journals, conferences and workshops.

2. What format are they in? Electronic or paper.
3. Will these records be needed by a replacement employee, if there is one?
4. Are any of these records considered Vital Records and should they be stored in off-site storage?

A Vital record is defined by the DOE as "Legal and financial records (formerly known as rights and interests records) and Emergency operating records needed to

ensure the continuity of operation and performance of essential functions during an emergency or disaster and resumption of normal business operations thereafter.”

5. For information on how to store records, see
http://bss.fnal.gov/records/rsd_form.html

6. Do any of these records have historical value?

If so, Adrienne Kolb, Fermilab’s Archivist, should be contacted by the Records Coordinator of the terminating employee’s Division or Section. Arrangements can then be made to transfer these records to the Archivist.

7. Do any of the records need to be destroyed?

DOE retention schedules need to be checked for all records by the File Custodian to verify whether the record’s retention period is up and if the record can be destroyed. See retention schedules at <http://cio.energy.gov/records-management/disposition.htm>. The Division/Section Records Coordinator may need to assist the File Custodian with this process.

All actions taken need to be documented by the Records Coordinator and the appropriate File Custodian, with a copy of the documentation sent to:

Kathryn Duerr
Fermilab Technical Info & Records Administrator
MS109
(630) 840-5693
kadnz@fnal.gov

If you need assistance regarding any of the above steps or for questions regarding records, please contact Kathryn Duerr, Technical Info & Records Administrator, ext 5693 or send email to kadnz@fnal.gov