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Environmental Programs Directorate

Administrative Procedure

for **RECORDS PROCESSING**

APPROVAL SIGNATURES:

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List of Acronyms and Abbreviations

ADEP	Associate Directorate for Environmental Programs
CD	Compact Disk
ERID	Environmental Records Identification (number)
IRM-RMMSO	Information Resource Management – Records Management / Media Services and Operations
OUO	Official Use Only
PDF	Portable Document Format
QC	Quality Control
RMS	Records Management System
RPF	Records Processing Facility
RTF	Records Transmittal Form
CUI	Controlled Unclassified Information
UCNI	Unclassified Controlled Nuclear Information
WM	Waste Management

1.0   PURPOSE AND SCOPE

This procedure describes the process by which the Environmental Programs Directorate (ADEP) Records Processing Facility (RPF) receives, reviews, processes, protects, and retrieves ADEP records in accordance with P1020, *Document Control and Records Management*, P1020-1, *Laboratory Records Management,* EP-DIR-QAP-10001, *Quality Assurance Plan for the Environmental Programs Directorate*, and EP-DIR-PLAN-10002, R0 *ADEP Directorate Records Management Plan.*

This procedure applies to all ADEP RPF personnel, who must implement records management processes, including receipt control, maintenance, protection and retrieval of ADEP records.

This procedure also applies to ADEP Facility Operations Director (FOD)-9 Document Control/Records Management personnel who function as a satellite of the RPF and perform the same records management activities as the RPF.

2.0   BACKGROUND AND PRECAUTIONS

2.1   Background

This procedure shall serve to preserve and protect the Laboratory's historical records and information and to reduce the legal risk to the Laboratory. This procedure does not address requirements for handling Classified Records. Certain Official Use Only (OUO) unclassified information may be exempt from public release and may have the potential to damage governmental, commercial, or private interests are restricted from disseminating to persons unless they have a "need to know" of the information to perform their jobs or other DOE authorized activities.

Records shall furnish documentary evidence that items or activities meet specified quality requirements. Where evidentiary records are involved, the maintenance of records includes establishing and implementing appropriate chain-of-custody and confidentiality procedures. Records shall be traceable to associated items and activities and accurately reflect the work accomplished or information required.

2.2   Precautions

No record(s) will be destroyed without prior approval from management and in accordance with Laboratory practices.

The RPF allows authorized personnel to retrieve records from the RPF, including OUO and/or Unclassified Controlled Nuclear Information (UCNI), requiring the RLM asserting the requestor's need-to-know. If e-mail access is unavailable, complete the OUO/UCNI Checkout Form located in EP-DIR-SOP-4004.

3.0   EQUIPMENT AND TOOLS

- The ADEP Records Management System (RMS) can be accessed via the ADEP BPS RM&DC Homepage and uses a SharePoint Enterprise Document Management System (EDMS).

- High Speed Scanners are used create electronic images of hardcopy ADEP records.

- A Crypto Card must be used to authenticate into ADEP RMS.

4.0   STEP-BY-STEP PROCESS DESCRIPTION

4.1   Receiving Records

RPF Personnel   4.1.1   **Generate ERID Numbers**

1.   As necessary print labels of ERID numbers and log the ERID numbers printed in the controlled spreadsheet.

RPF Personnel   4.1.2   **Receipt of Hard Copy Records Transmittals**

1.   Check the RPF inbox for new record transmittals.

2.   Upon receipt of a transmittal, stamp the Records Transmittal Form (RTF) with the current date. Log the applicable information into the Transmittal Log making note of the Transmittal Number assigned. Use the Transmittal Number if needed to formulate a new Record Package Number (e.g. PKG-####).

3.   Verify the transmittal and records meet record acceptability criteria using the Review Checklist found on EP's RM&DC website as guidance.

4.   If the records are not acceptable notify the transmitter and,

- If the correction can be made in the RPF have either the RPF personnel or Records Custodian correct the record submittal at the RPF.

- If the correction cannot be made in the RPF then return the transmittal to the Records Custodian and update the Transmittal Log accordingly.

5.   For any records that cannot be scanned complete Attachment 1, Special Instruction Sheet (SIS) and include with the record.

6.   When acceptable, assign an ERID number to each record or group of records in the transmittal and to any SIS forms, if applicable. Affix the ERID number label in the upper right corner of the first page of the record.

7.   Place a red sticker on any Controlled Unclassified Information (CUI) records (e.g., OUO, UCNI or PII) and on the corresponding transmittal form.

RPF Personnel   4.1.3   **Receipt of Electronic Records Transmittals**

1.   Check the electronic record transmittal location in the RMS for new transmittals.

2.   Upon receipt of an electronic transmittal, print a copy of the RTF. Stamp the RTF with the receipt date. Log the applicable information into the Transmittal Log making note of the Transmittal Number assigned. Use the Transmittal Number if needed to formulate a new Record Package Number (e.g. PKG-####).

3. Verify the transmittal and records meet record acceptability criteria using the Review Checklist found on EP's RM&DC website as guidance.

4. If any records need to be corrected, make them available to the record transmitter for correction.

5. Upon acceptance of an electronic record transmittal, assign an ERID number to each record using the Adobe tool and note the use of each ERID number on the ERID label sheet. Save each record file using the ERID number as the file name.

RPF Personnel 4.1.4 **Complete Receipt Processing**

1. Enter the transmittal number, record package number and ERID numbers on the RTF and update the Transmittal Log with the Verification Date.

2. Send a copy of the RTF back to the transmitter.

3. Stage the transmittals accordingly:

    - Non-CUI transmittals to be sent for subcontract scanning stage in the Process for Subcontract Scanning" area and proceed to Section 4.4 for further processing.

    - All other hard copy record transmittals stage in the "Ready for Scanning" area and continue to Section 4.2.

    - RTFs for electronic record transmittals stage in the "Ready for Indexing" area and proceed to 4.3.

4.2 RPF Record Scanning

RPF Personnel 1. Retrieve hardcopy records that have been staged for scanning.

2. Set the transmittal form aside and prepare the records for scanning.

3. Scan the records and review the resulting PDF images. Re-scan records when the PDF images are not acceptable.

4. Save the acceptable PDF images using the ERID number as the filename to the."RPF – ReadyForOCR" shared drive folder. Save CUI records directly to the "RPF – ReadyForIndex" share drive folder.

5. Run the OCR process on the records in the "RPF – ReadyForOCR" folder.

6. Move the records that have completed the OCR process to the "RPF – ReadyForIndex" folder.

7. Place the scanned hardcopy records along with the RTF in the "Ready for Indexing" staging area.

4.3 Image QC, Index and Upload Records

RPF Personnel

1. Retrieve the next record transmittal from the "Ready for Indexing" staging area. For electronic transmittals only an RTF will be retrieved.

2. Obtain a box and get a container number from the RMS Container Log if a new box is needed for storing the hardcopy records. Write the container number on the inside flap of the box lid.

3. For the scanned records, retrieve the corresponding PDF file using the ERID number on the hardcopy record. Compare the hardcopy record to the images and have any unacceptable images re-scanned in accordance with Section 4.2.

4. Open the appropriate folder in RMS for storing the record. Locate and upload the record using the ERID number (for records submitted electronically the ERID Numbers will be on the RTF). Scanned records will be located in the shared drive folders. Records submitted electronically may be found in an electronic submittal location within the RMS. When prompted, index the record by completing the record properties. For each record the following information (at a minimum) will be entered into the RMS:

   - ERID Number
   - Title/Subject;
   - Document Date;
   - Record Type (e.g., Report, Correspondence, Plan, etc.);
   - Container ID (Box number for hardcopy records; for electronic submitted records a placeholder number to be replaced by an electronic media identifier);
   - Transmittal Number;

   NOTE: If an image error was identified during step 3, set the Image QC Error to "Yes".

5. When indexing is complete store the processed hardcopy records along with colored separator sheet in the record storage box and file the RTF in the RPF in monthly folders by the transmittal receipt date.

6. When a box is filled with indexed records, create a box index from the RMS and place the index in the box.

7. Transfer boxes to IRM-RMMSO for storage in accordance with EP-DIR-SOP-4004, *Records Transmittal and Retrieval Process.*

8. Create a Record Storage TR Log entry when boxes are shipped to IRM-RMMSO and complete the entry when the transfer form is returned.

4.4 Process Subcontract Scanning Records

RPF Personnel 1. Retrieve a subcontract scanning record transmittal from the "Ready for Subcontract Scanning" area.

2. Obtain a box and get a container number from the RMS Container Log if a new box is needed for storing the hardcopy records. Write the container number on the inside flap of the box lid.

3. Index the records into the Bulk Load Index list and place the indexed records into the box separated by colored pages and paper clips.

4. When the box is full generate a list of the box contents from the Bulk Load Index List and place the list in the box. When the appropriate number of boxes is complete arrange for the transfer of boxes to the subcontractor for scanning. Update the Container Log with the transfer date.

Subcontractor 5.   Acknowledge receipt of the boxes for scanning.

6. Scan the records and save the images to a CD using the ERID number as the filename for each record in accordance with subcontract requirements.

7. Return hardcopy records in the original boxes with the CD of record images to the RPF when complete.

RPF Personnel 8. Receive the boxes from the subcontractor and update the Container Log with the receipt date.

9. Compare the box contents to the box index to verify content and order was maintained in the scanning process.

10. Copy the record images from the CD to the RPF Bulk Load Shared Drive location.

11. Compare the record images to the hardcopy records. Resolve any discrepancies either by re-scanning in-house or returning to subcontractor.

12. When the images are acceptable, generate a bulk load spreadsheet from the indexed information and run the Bulk Load application to move the images and indexed information into the appropriate folder in the RMS.

13. Verify completeness of the bulk upload. Resolve any errors.

14. Upon verification of successful bulk upload delete the corresponding images on the shared drive and the items in the Bulk Load Index List.

15. Transfer boxes of processed hardcopy records to IRM-RMMSO for storage in accordance with EP-DIR-SOP-4004, *Records Transmittal and Retrieval Process.*

4.5 Index QC

RPF Personnel 1. Periodically run a report to identify records that have been indexed into the RMS but have not yet been reviewed to verify the quality of the indexing.

2. Compare each record to the indexed properties. Fix any indexing errors.

3. Update the Index QC Error status in the record properties for each record reviewed to either "Yes" or "No" depending on whether errors were identified during the QC process.

4.6 Protecting Records

RPF Personnel 1. Ensure all non-RPF personnel sign in and are escorted within the RPF. The RPF is a controlled access area.

2. Store 'in process' hardcopy records when not in use in a controlled storage area, with locked cabinets and doors, to ensure records are protected from damage, loss, vandalism, or destruction. Refer to the P1020, *Document Control and Records Management* and P1020-1, *Laboratory Records Management.*

4.7 Electronic Dual Storage Process

RPF Personnel 1. Monitor the volume of records submitted electronically. When the volume desired for the media being used for dual storage has been reached, stage the records for copying to the media.

2. Obtain a unique identifier for the media from the Container Log and label the media with the unique container identifier.

3. Copy the records to the media and update the index of the records copied to the media with the unique container identifier obtained in step 2.

4. Store the media geographically removed from the on-line storage system to meet dual storage requirements. Log the creation date of the media in the Container Log.

5. Refresh the media at a frequency that meets industry standards.

   NOTE: Electronic record images and meta-data in the RMS are backed up daily by the Software and Application Engineering (SAE) Division.

4.8 Retrieving Records

RPF Personnel 1. Receive a record retrieval request from ADEP personnel. An RPF Record Retrieval Request form (Attachment 3) may be completed if the request cannot be responded to immediately.

   NOTE: For requests originating outside of ADEP, obtain management approval before proceeding.

RPF Personnel (cont.)

2. If a CUI record is requested, require an email be sent to the RPF at ep_records@lanl.gov from the RLM asserting the requestor's need-to-know. If email access is unavailable, complete the OUO/UCNI Checkout Form located in EP-DIR-SOP-4004, *Record Transmittal and Retrieval Process.*

3. Provide a copy of the requested records that can be copied. Records that cannot be copied may be viewed in the RPF by the requester.

   NOTE: Records do not leave the control of the RPF. Only copies may be released.

4. If necessary, retrieve hardcopy records transferred to IRM-RMMSO according to P1020-1, *Laboratory Records Management.*

5.0   RECORDS

The following records are generated by the process defined in this procedure:

RPF Sign-in Log
Special Instruction Sheet (SIS)
RPF Retrieval Request Form

6.0   PROCESS FLOWCHART

Available on the ADEP BPS RM&DC homepage at: http://int.lanl.gov/orgs/bps/records_workflow.shtml

7.0   ATTACHMENTS

Attachment 1   Special Instruction Sheet (SIS)

Attachment 2   RPF Record Retrieval Request

Attachment 3   RPF Sign In Log

REVISION HISTORY

Revision No.	Effective Date	Description of Changes	Type of Change
0	4/4/11	Major revisions; New document number assigned; Supersedes EP-DIR-SOP-4003, R3.	T/E

ATTACHMENT 1
Special Instruction Sheet
This is a placeholder page for a record that cannot be scanned or would lose meaning or content if scanned. The record can be requested through ep__records@lanl.gov.

1. Record Date	2. ERID Number
3. Title/Description	4. No Restrictions ☐ OUO ☐ UCNI ☐
5. Media Type & Quantity	6. Software and Version required to read media
7. Remarks	

Special Instruction Sheet (SIS) Form Instruction

1. Record Date — Enter the date on which the record was created.

2. ERID Number — Enter the ERID Number assigned to the record.

3. Title/Description — Enter a title or description that clearly identifies and describes the record. (Use actual title of the record, if available).

4. OUO or UCNI — Check the appropriate box indicating the record's designation.

5. Media Type & Quantity — Choose the appropriate media type. (e.g., Paper, CD, DVD, Video, Photograph).

6. Software and Version — If applicable, include the name and version of the software required to view, import, export, recompile, or preserve the record.

7. Remarks — Enter additional remarks that will provide information about the record.

ATTACHMENT 2
RPF Record Retrieval Request

From: _____ Org: _____

Priority: ___ High ___ Medium ___ Low   Phone: _____

Date Request Needed (Approximate): _____   Request Date _____

Instructions: In order to expedite retrieval, please provide the following information

Doc Date	ERID#	To	From	Subject/Title
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
(RPF Use Only)				

Date Request Completed: _____

Signature: _____

ATTACHMENT 3										
RPF Sign In Log										
Date	Name	Z#	Group	Doc Control or Records Staff	New Record	Query/ Retrieval	Other	Time In	Time Out	Staff Initials