


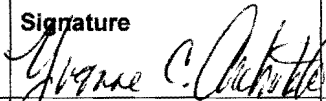

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Environmental Programs Directorate

Administrative Procedure

RECORDS MANAGEMENT PROCEDURE FOR ADEP EMPLOYEES

APPROVAL SIGNATURES:

Subject Matter Expert:	Organization	Signature	Date
Yvonne C. Archuleta	IRM-RMMSO		5/16/2011
Responsible Line Manager:	Organization	Signature	Date
Gail McGuire	IRM-DCS		5/16/2011

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List of Acronyms and Abbreviations

ADEP	Associate Directorate for Environmental Programs
CUI	Controlled Unclassified Information
DOE	Department of Energy
EPRR	Electronic Public Reading Room
ERID	Environmental Records Identification Number
FOD	Facility Operations Director
FOIA	Freedom of Information Act
GRS	General Records Schedule
IRM-RMMSO	Information Resource Management – Records Management / Media Services and Operations
LANL	Los Alamos National Laboratory
NARA	National Archives and Administration
NMED	New Mexico Environment Department
OCR	Optical Character Recognition
OUO	Official Use Only
PA	Privacy Act
PDF	Portable Document Format
PII	Personally Identifiable Information
QA	Quality Assurance
RC	Record Custodian
RLM	Responsible Line Manager
RM POC	Record Management Point of Contact
RMS	Records Management System
RPF	Records Processing Facility
RS	Record Source
RTF	Records Transmittal Form
SOP	Standard Operating Procedure
UCNI	Unclassified Controlled Nuclear Information

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1.0 PURPOSE AND SCOPE

This procedure describes the controls and processes for transmitting and retrieving records to and from the Records Processing Facility (RPF) for the Los Alamos National Laboratory (LANL) Associate Directorate for Environmental Programs (ADEP). This procedure applies to ADEP and other personnel including subcontractors, who are involved in the preparation, identification, receipt, authentication, transmittal, indexing, scanning, retrieval, use, and protection of ADEP records as required by PD1020, *Document Control and Records Management*, P1020-1, *Laboratory Records Management*, NQA-1-2008, *Quality Assurance Requirements for Nuclear Facility Applications*, 10 CFR 830.120, applicable U.S. Department of Energy (DOE) orders, and EP-DIR-QAP-1001, *Quality Assurance Plan for the Environmental Programs Directorate*.

2.0 BACKGROUND AND PRECAUTIONS

2.1 Background

Records management is the process of identifying, creating, receiving, maintaining and dispositioning records. Records management is required by law and defines "records" to include all books, papers, maps, machine readable materials, e-mail, or other documentary material of informative value, regardless of physical form or characteristics received or created as evidence of the organization, function, policies, decisions, procedures, or operations.

This procedure serves to preserve and protect the Laboratory's environmental records, reducing legal risks to the Laboratory. Requirements for records will be specified in applicable statements of work, procedures, and memorandums of understanding.

The scanned hardcopy records processed by the RPF are submitted to the Information Resource Management – Records Management /Media Services and Operations (IRM-RMMSO) for storage using LANL Form 1701, Records Transfer Request. The electronic images of the records and the bibliographic information created to support record retrieval are maintained within the ADEP Records Management System (RMS). Records submitted electronically to the RPF are copied to external media to meet dual storage requirements.

2.2 Precautions

This procedure does not address requirements for handling classified records.

ADEP Facility Operations Director (FOD)-9 and FOD-5 records management personnel function as a satellite RPF and perform the same records management activities as the RPF, in accordance with this procedure. Requests for current data records should be directed to the Sample Management Database custodian. Generally historical data records are submitted to the RPF; however, they may be of limited value without the software, hardware and/or operating environment needed to use the data.

This procedure only applies to current ADEP organizations; however, other organizations within Environment, Safety, Health, and Quality (ESH&Q) continue to use the ADEP RMS (e.g., Waste and Environmental Services and Environmental Protection Divisions) for their recordkeeping needs.

3.0 EQUIPMENT AND TOOLS

The ADEP RMS is maintained using the SharePoint Enterprise Document Management System (EDMS) and is available from ADEP home page.

Access to the yellow network is required to access the ADEP RMS.

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4.0 STEP-BY-STEP PROCESS DESCRIPTION

4.1 Roles and Responsibilities

Roles and Responsibilities for the following positions are defined within this procedure:

- ADEP Responsible Line Manager (RLM)
- IRM-RMMSO Personnel
- Record Custodian (RC)
- Record Source (RS)
- Records Management Point of Contact (RM POC)
- RPF Personnel

4.2 Identifying Records and Establishing File Systems

4.2.1 Designate Records Custodian

- RLM
1. Designate and document in writing the RCs for the organization. Submit written designations to the RPF by email or hardcopy. The number of RCs shall be determined by the specific organization's needs. If changes occur, then re-submit in writing all updated RC designations.

NOTE: RCs interface with the ADEP RM POC's regarding records management processes and activities. A list of designated RCs is posted on the ADEP RM&DC website.

4.2.2 Develop and Maintain File Plan

- RC
1. Develop and maintain an ADEP Organizational File Plan for long-term, short-term, non-records, vital, and unscheduled records using the Organization File Plan Form on ADEP RM&DC website.

Contact the ADEP RM POC for guidance on developing your organizational File Plan.
 2. If an approved record schedule cannot be identified for a record series listed on the file plan, request assistance from the RM POC with the completion of an SF115 (National Archives and Records Administration form).
- RM POC
3. Coordinate SF-115 preparation with RMMSO. Upon receiving an approved SF-115 forward to the requesting RC.
- RC
4. Upon receipt of approved SF115, update the File Plan as needed.
 5. Obtain RM-POC review for a new or revised File Plan.

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- RC
6. Obtain RLM approval.
 7. Obtain RMMSO Group Leader approval.
 8. Distribute copies of the final approved file plan within the applicable organization for use.
 9. Submit a final copy of the File Plan per this procedure to RPF.
 10. Make changes to the organization's File Plan when new record series are created, or when any other changes are necessary between annual revisions.
 11. Review the File Plan annually, update it if necessary and submit it to the RM POC for review.

4.2.3 Establish File Stations

- RLM
1. Identify record file room/stations to maintain the organization's long-term records for the interim storage until they are completed and transmitted to the RPF. These are records with retention period of more than 5 years.
 2. Identify record file room/stations to maintain the organization's short-term or non-record material (see definitions in Section 7). Records with retention period of 5 years or less may be retained by the RS or RC to disposition in accordance with the Organizational File Plan.
 3. Maintain information copies, reference copies, and personal documentation separate from official record copies. Clearly indicate this material as non-record copies.
 4. Select a file container for Quality Assurance (QA) records (see definitions in Section 7). QA records must be filed in a one-hour fire rated container for the interim storage of records until they are transmitted to RPF.

4.3 Create / Receive Records

- RC/ RS
1. When creating or receiving records, ensure record quality through the following:
 - Remove all duplicates and/or unnecessary blank pages.
 - Ensure ink color is sufficiently dark so there is adequate contrast between the paper and the information recorded on the paper to produce a legible copy.
 - Do not use highlighter markers on hard copy records because their use may obliterate the text during scanning.

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- RC/ RS
2. Determine if a document is a record copy. Search the RMS to determine if the record has already been submitted. If the record is a duplicate, mark, file, and maintain as non-record material in accordance with the organizational file plan.

 3. Review records to ensure they are accurate, legible, and contain all necessary information to adequately document the activity. Each record must
 - Be legible (e.g., all content is readable or a “Best Available Copy” stamp is affixed).
 - Be complete and contain all pages, including all attachments/enclosures, authentication, and signatures.
 - Include a document date.
 - Include a subject/title sufficient to enable accurate and efficient retrieval of the record.

 4. Make record correction(s), using cross-outs that are dated and initialed. Do not obliterate corrected text. White-out is not acceptable.

Note: Handwritten notations and strike-outs intended as review comments to a document are not considered changes, or corrections, and do not require signature, initials, or date.

 5. Logbooks and notebooks must be reviewed and authenticated in accordance with Standard Operating Procedure (SOP)-5181, *Notebook and Logbook Documentation for Environmental Directorate Technical and Field Activities*.

NOTE: For scanning quality purposes, use a BLACK pen to write in logbooks/notebooks.

 6. Records identified as Controlled Unclassified Information (CUI) such as Official Use Only (OUO), Unclassified Controlled Nuclear Information (UCNI) and/or Personally Identifiable Information (PII), are to include an OUO, UCNI, and/or PII stamp on the front page or cover page. Each page must be marked appropriately. If unsure about the sensitivity of a record contact a Derivative Classifier (DC) for determination and proper marking and handling.
 - For OUO records refer to *Controlled Unclassified Information, P204-1.*
 - For UCNI records refer to *Controlled Unclassified Information, P204-1.*
 - For PII records refer to *Marking Information Systems and Media, P212.*

 7. Email that document substantive issues, decisions or direction regarding project scope, budget, schedule, milestones, deliverables, technical, management, or administrative issues are federal records. These records are to be managed in accordance with this procedure unless equivalent information is captured in another more formal record.

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- RC/RS
8. A documented verbal conversation that pertains to substantive issues, decisions or direction pertaining to project scope, budget, schedule, milestones, deliverables and technical, management, or administrative issues are Federal records. These records are managed in accordance with this procedure. Communications with regulators are managed in accordance with EP-DIR-AP-10006, *Formalizing Communications with Regulators*.
 9. Verify electronic records are not corrupt or password protected.

4.4 Maintain Records

- RC/RS
1. Protect records from deterioration, loss, or damage until records are transmitted to the RPF.
 2. Protect all records based on the following principles:
 - Keep liquids away from any record to prevent potential damage from spills.
 - Keep heat sources away from a record to prevent potential scorching or burning.
 - Keep records in a secure area when not in use (e.g., a locked desk drawer, file cabinet, or office).
 - Secure records from unauthorized access.
 3. Store records in facilities, containers, or a combination thereof, constructed and maintained in a manner that minimizes the risk of damage or destruction from the following:
 - Biological, chemical, or radiological contamination;
 - Natural disasters such as winds, floods, or fires;
 - Environmental conditions such as high and low temperatures, humidity;
 - Infestation of insects, mold, or rodents.
 4. Store QA records in one-hour fire rated cabinets until transferred to RPF.

4.5 Disposition Records

4.5.1 Submit Records to the RPF.

NOTE: It is preferable to provide the original record, but a copy is acceptable when an original is unavailable.

NOTE: The RC and RS must comply with all requirements of this procedure. If the record is not acceptable, the record will be returned for necessary corrections. An acceptance criteria guide can be found on the ADEP BPS RM main page.

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- RC/ RS
1. Submit records with retention periods of more than 5 years as documented on the organizational File Plan to the RPF for long term archival. For the sake of consistent protection of ADEP records, it is recommended that records are submitted to the RPF within 90 days of completion of the record or completion of the activity that the record supports.
 2. Prepare records by removing staples and repairing torn pages or frayed edges. Separate records by inserting colored separator sheets and/or paper clips between records
 3. Complete a separate RTF for CUI records (i.e., OOU, UCNI, PII records).

NOTE: The records package process is used to relate records to a specific topic or task. This process associates a unique records package number with records identified as part of the records package on the Records Transmittal Form (RTF). A records package can be supplemented with additional records in future transmittals by referencing the applicable records package number on the RTF. Examples of records packages include records (1) supporting a QA audit, (2) created in the development and review of a procedure, or (3) created in the development of a technical product.

NOTE: Previously created records package numbers are no longer available as a pull down list on the RTF but are available on the RM&DC website. Newly assigned records package numbers will be communicated via a returned copy of the RTF to the record transmitter after processing by the RPF.

- RC/ RS
4. Compile records belonging to a records package arranging the records in a chronological or otherwise logical order.
 - List each record as a separate line item on the RTF (Attachment 1). For hardcopy submittals put colored separator sheets between each record.
 - If the records supplement a previously submitted records package, then indicate that on the RTF and include the RPF-assigned records package number.
 5. Complete a separate RTF for each records package providing a title for a new records package and listing each record in the package on the RTF.
 6. Complete an RTF when submitting individual records, i.e., records that don't belong to a records package, and list each record submitted.
 7. Add the phrase "Vital Record" after the Record Title on the RTF when submitting Vital Records (see definition in Section 7).
 8. Provide the final original as well as a copy of logbook/notebook submittals to RPF.
 9. Coordinate with the RPF staff before large volumes of records are submitted.

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- RC/ RS
10. Do not submit draft documents because they are not considered to be a final record, and will not be accepted, unless the draft documents contain comments or notations that may serve as supporting documentation.
 11. Do not submit non-record material to the RPF (see definition).
 12. Identify records required in the Electronic Public Reading Room (EPRR) on the RTF (see definition of Reading Room Relevant).
 13. To avoid unnecessary printing and scanning and expedite processing, records that are completed and maintained electronically should be submitted electronically. For electronically submitted documents, a hardcopy record is not required by the RPF.

Submitting PDF Electronic Records to RPF:

Ensure the final PDF record is complete, accurate, and legible combining PDFs if necessary to create a complete record. Whenever practical, convert electronic records directly to PDF files. If the PDF file (in part or whole) is produced by scanning paper documents, ensure the record is not significantly skewed or speckled. Scan records at 300 dpi resolution or greater and ensure the final PDF is text searchable using optical character recognition (OCR) tools as necessary. If any of the electronic records are over 500MB in size contact the RPF for instructions on submitting. Review the acceptance criteria available on the ADEP BPS RM main page.

Submit PDF records electronically as follows:

- Create a transmittal to submit records electronically by going to the ADEP home page and clicking on the link to the ADEP RMS.
- Click on the Electronic Transmittal link to start a new transmittal.

Note: On the ADEP RMS main page is a link to the Electronic Submittal User Guide for detailed instructions.

- Complete the transmittal and record information and attach the corresponding PDF records to the transmittal.
- When completed click on the Submit button to submit the records to the RPF for processing.

Note: Review the User Guide for instruction about saving a transmittal for later completion and for accessing transmittals that may have been returned by the RPF.

- If any of the transmittal information or records are unacceptable, the RPF will notify the transmitter with instructions for making the necessary corrections.

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RC/ RS

Submitting Non-PDF Electronic Records to RPF:

Submit electronic records that cannot be converted to PDF files or would lose value or content if converted in their native electronic format using the process above. Do not submit executable files (see definition in Section 7).

- Records such as data files that may be numerous and of limited value individually may be combined and submitted as a single unit. Consult the User Guide for further instruction.

If the Electronic Transmittal is not a practical means or is inaccessible for submitting electronic records, they may be submitted on CD/DVD using a hardcopy RTF:

- Include a readme file on the CD/DVD providing instruction and requirements for using the files.
- Label the CD/DVD with a title, date, and applicable document numbers and properly marked if it contains CUI.

14 If electronic submittal is not practical, submit hardcopy records using the following options:

- Drop off the RTF and hardcopy record(s) at the RPF located in TA-00, Bldg. 1237, Room 109, or deliver ADEP FOD-9 records to FOD-9 DCC (TA-21, Bldg. 8003, Room 1001A).
- Send RTF and hardcopy record(s) via interoffice mail to RPF, MS M707, or FOD-9 DCC, MS C349.

NOTE: The RPF will contact the record transmitter if any corrections are required with the submitted records; otherwise a copy of the processed RTF will be returned to the record transmitter.

4.5.2 Transfer Records to IRM-RMMSO

- | | |
|----------------------------|--|
| RPF
Personnel | 1. Complete and send to IRM-RMMSO Form 1701 in accordance with P1020-1, <i>Laboratory Records Management</i> , when ready to submit scanned hardcopy records to IRM-RMMSO. Create a Transfer Log entry in the RMS. |
| IRM-
RMMSO
personnel | 2. Upon receipt of the 1701 form, coordinate pick-up of the boxes with the RPF personnel. Store the boxes in accordance with P1020-1, <i>Laboratory Records Management</i> . Send a copy of the processed 1701 form back to the RPF. |
| RPF
Personnel | 3. Upon receipt of the processed 1701 form, update the Transfer Log entry with the Transfer Request Number and attach a scanned copy of the form. |

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4.5.3 Records Destruction

NOTE: All Laboratory records must be scheduled using either a DOE approved records schedule or the General Records Schedule (GRS), which is the NARA issued schedule for administrative records common to most agencies. This association of records to the appropriate schedule is documented in the organizational File Plan.

- | | |
|--|--|
| RC/ Record Source/
RPF
Personnel | <ol style="list-style-type: none"> 1. Complete the following prior to destroying records that have met their retention period in accordance with the applicable record schedule: <ul style="list-style-type: none"> • Contact the IRM-RMMSO to verify that the records have met their retention period. • Upon verification, complete 1704 form, <i>Certificate of Records Destruction (Unclassified and Classified)</i>, and obtain RLM approval. • Submit the RLM approved 1704 form, <i>Certificate of Records Destruction (Unclassified and Classified)</i>, to IRM-RMMSO for approval. 2. Upon notification of IRM-RMMSO approval, destroy records in accordance with IRM-RMMSO instructions. |
|--|--|

4.5.4 Records Disposition for Departing or Transferring Individuals

- | | |
|---|---|
| RLM | <ol style="list-style-type: none"> 1. Ensure Attachment 3, Records Disposition for Departing or Transferring Individuals, is initiated any time there is an organizational change that affects an employee, or when an employee is assigned new work scope that relieves the individual record responsibilities from of his or her previous position. |
| Departing or Transferring Employee

RLM | <ol style="list-style-type: none"> 2. Complete Sections I and II of Attachment 3 in accordance with the instructions provided in Attachment 4, sign <u>and</u> date, and provide to the RLM. 3. Perform the exit interview and walk-through indicated in Section III of Attachment 3. 4. If the departing or transferring individual has already left or is unavailable, complete Sections I and II of the form for the individual, printing departing individual's name in the appropriate block, answering questions as completely as possible, and signing for that individual in the signature block. 5. In Section III of the form, if the departing or transferring individual is already gone or unavailable, making an exit interview impossible, it is acceptable to enter "NA" on the signature and date lines for the exit interview statement. It is not acceptable, however, to enter "NA" for the walk-through statement. |

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RLM

6. Complete Section III of Attachment 7, certifying that all completed and in-process records generated by the departing or transferring individual have been accounted for, including electronic files.
7. Submit the completed form to the RPF.

4.6 Retrieve Records

Record Requester

1. To retrieve records from the ADEP RMS, access the RMS from the ADEP home page. Refer to the User Guide provided on the RMS main page to conduct searches in the RMS.

NOTE: The advance search within the RMS is recommended because it provides users the capability to search the full text of documents as well as specific document properties.

2. Contact RPF personnel if you are unable to locate the desired record or if you need assistance performing RMS searches.
3. In some cases an electronic image of the record may not be available to the RMS user. Examples include:
 - Record that is still being processed;
 - Record that is CUI;
 - Record that is retained on separate electronic media (e.g., CD);
 - Record that could not be imaged.

Contact the RPF for retrieving the record in these cases. For access to records containing CUI, an email to the RPF at ep_records@lanl.gov from the RLM asserting the requestor's need-to-know is required. If email access is unavailable, complete Attachment 5 and bring it to the RPF.

4. For Freedom of Information Act (FOIA)/ Privacy Act (PA) record requests refer to the FOIA/PA Officer as identified on the IRM RMMSO website.
5. To retrieve Correspondence records, the use of the Correspondence Control Action Tracking System (CCATS) is recommended.
6. For controlled documents, including plans, procedures, engineering design documents, etc. use the ADEP Document Control System to ensure you retrieve the latest approved revision of a document.

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5.0 RECORDS

Records generated by this procedure to be submitted to the Records Processing Facility:

- Records Transmittal Forms
- E-mails Designating Records Custodians
- Records Disposition Forms for Departing or Transferring Individuals, with any applicable justifications or explanations attached
- File Plans for ADEP organizations
- Emails verifying need-to-know for CUI requests or OUO / UCNI / PII Checkout Form

6.0 DEFINITIONS

Disposition - Those actions taken regarding records no longer needed for the conduct of the regular current business of the agency. Records disposition is any activity with respect to (1) destruction of temporary records no longer needed to conduct business; (2) transfer of temporary records to a storage facility or the RPF, (3) transfer of records to NARA valued as permanent, or (4) transfer of records from one federal agency to another.

Email Record - Email record is an electronic correspondence that documents substantive issues, decisions or direction regarding project scope, budget, schedule, milestones, deliverables and technical, management, or administrative issues. Therefore, an email record includes electronic correspondence that provides direction to an individual or organization, documents a substantive project issue requiring management attention and resolution and management decisions regarding such issues.

ERID Number - A unique number assigned by the RPF when a record is processed.

Executable File - An executable file is a file that is used to perform various functions or operations on a computer. Unlike a data file, an executable file cannot generally be read because it has been compiled and requires a computer program (software) to interpret . Common executable file extensions are .BAT, .COM, .EXE, and .BIN.

File Plan - A file plan identifies the records and non-records maintained by an organization. The file plan describes the records usually in terms of a record series (see definition below). The file plan identifies where the records are stored while they are maintained by the organization and associates the record series to the applicable record schedule. Using information from the schedule, the file plan identifies the transfer or destruction instructions when the record is no longer needed within the organization.

File Room/Station(s) - Designated area(s) where records are maintained prior to submittal to the RPF or otherwise dispositioned; also referred to as a temporary storage area for long- and short-term records

Freedom of Information Act (FOIA) - Law enacted to ensure information in federal agencies is made available to the public, except to the extent records are protected from disclosure by one of nine exemptions.

Indexing - The process of creating bibliographic information derived from a record to facilitate the retrieval of the record.

Long-Term Record -Records having a retention period of more than 5 years.

National Archives and Records Administration (NARA) - An independent federal agency that establishes policies and procedures for managing records of the federal government and exercises final authority for approving the disposition of government records.

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Non-Record Material - All information materials excluded from the legal definition of records (44 U.S.C. 3301) either by failing to meet the general conditions of record status or by falling under one of three specific categories: (1) extra copies of documents preserved only for convenience of reference; (2) copies of publications, blank forms, and processed documents; or (3) library and museum material preserved solely for reference or exhibition purposes.

Permanent Record - Any federal record that has been determined by NARA to have sufficient value to warrant continued preservation in NARA beyond the time it is needed for administrative, legal, or fiscal purposes. These records are sometimes called archival records.

Quality Assurance (QA) Record - Completed documents that furnish evidence of the quality of items and/or activities affecting quality.

Reading Room Relevant Records - Records required to be placed on the electronic public reading room by regulations such as Individual Permits, Multi-Sector General Permit, or the Resource Conservation and Recovery Act.

Record - Includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Records may be originals or copies, but not extra copies.

Records Package - A collection of records that pertain to the same activity or task. Examples of records packages include records: (1) supporting a QA audit, (2) created in the development and review of a procedure, or (3) created in the development of a technical product. A unique identifier is assigned to the records package by the RPF.

Record Retention Period - The length of time records must be kept after they are closed or cutoff. It is usually expressed in terms of years, months, or days. The retention period of a record is determined by the administrative, legal, fiscal, and archival value of the record.

Record Schedule - A description of a record series and the applicable retention period approved by NARA. The term is also used to describe a collection of record schedules approved by NARA and distributed by DOE for use in the development of organizational file plans.

Record Series - File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function; result from the same activity; document a specific kind of transaction; take a particular physical form; or have some other common relationship arising out of the creation, receipt, or use, source as restrictions on access or use. Record series are identified in the NARA approved records retention schedules and are used when describing records on an organizational file plan.

Record Source - An individual employed by LANL, its contractors, or subcontractors (e.g., by procedure, delegation, responsibilities of position, statement of work) who creates or receives records.

Records Custodian - An individual designated to serve as the resource person for their respective organization on records creation, use, maintenance, retention, storage, and disposition, including submittals to the RPF.

Records Management Point-of-Contact (RM POC) - An individual designated for overseeing the day-to-day management of the ADEP's Records Management Program. Serving as a subject matter expert in record

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management requirements, the RM POC assists ADEP personnel in the implementation of the ADEP records management plan and procedures.

Records Processing Facility - An organization within ADEP that is responsible for receiving, screening, numbering, indexing, storing, protecting, and retrieving ADEP records.

Responsible Line Manager - An individual, who establishes the organizational file stations (s), designates Records Custodians, approves the organization's file plan, reviews and approves records destruction notices for the organization, performs exit and entry interviews for departing or transferring individuals, and participates in any assessments of the records management program.

Short Term Records - Records with a retention period of 5 years or less.

Transferring/Departing Employee - A LANL employee who has an organizational change and is assigned a new work scope that relieves the individual of record responsibilities from their previous position or is leaving their Laboratory job assignment permanently.

Unscheduled Records - Any record that has not been appraised by NARA (e.g., a record that has neither been approved for disposal nor designated as permanent by the Archivist of the United States). These records must be retained until an official retention period is established and approved by the head of NARA, the Archivist of the United States.

Vital Records - Essential records that are needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions and to protect the legal and financial rights of organizations under LANL. Use caution in designating records as vital; generally 1% to 7% of the organization's records are considered vital records.

7.0 PROCESS FLOWCHARTS

Applicable flowcharts are located on the RM&DC website.

8.0 REVISION HISTORY

Revision No. <i>[Enter current revision number, beginning with Rev.0]</i>	Effective Date <i>[DCC inserts effective date for revision]</i>	Description of Changes <i>[List specific changes made since the previous revision]</i>	Type of Change <i>[Technical (T) or Editorial (E)]</i>
0	6/8/11	Supersedes EP-DIR-SOP-4004, Revision 3	N/A

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9.0 ATTACHMENTS

Attachment 1 Records Transmittal Form (RTF)

Attachment 1a Records Transmittal Continuation Form (RTF)


Attachment 2 Records Transmittal Form Instructions

Attachment 3 Records Disposition Form for Departing or Transferring Individuals

Attachment 4 Records Disposition Form for Departing or Transferring Individuals Instruction Sheet

Attachment 5 RPF OUO / UCNI / PII Checkout Form

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ATTACHMENT 2	
EP-DIR-AP-10003-2 Records Disposition Form Instructions	

All fields on the form must be filled in unless otherwise specified.

If a field is not applicable or information is not available, enter N/A in the field

- A Record Transmittal Form (RTF) must be submitted with all Record submittals.
- The on-line Record Transmittal Form includes self expanding fields to accommodate all information required. The information can be typed using the on-line form located on the RM&DC website or the form can be printed and completed legibly using permanent ink. Retrieve a copy of the form from the website for each use to ensure the latest version of the form is used.
- If changes to information entered on the Record Transmittal Form are required after printing and fixing electronically and re-printing is not feasible, then draw a single line through the incorrect information and initial and date the correction.

1.	Transmittal Date	Enter the date on which the record was transmitted to the RPF. (Note: Use the following format for the date: MM-DD-YYYY).
2.	Office of Record	From the drop down menu, choose the organization that owns the responsibility for the records. Generally this is the organization that created the records or received the records from an external party.
3.	Subcontractor	From the drop down menu, choose the appropriate Subcontractor Organization who created the records.
4.	OUO / UCNI / PII	Check "Yes" if the record(s) contains a type of information listed in the Freedom of Information Act Exemptions Table; otherwise check "No". (Note: If "Yes" is checked, ensure the front page (or cover page) of the record(s) that contain OUO/UCNI/PII is stamped with the proper OUO/UCNI/PII identifier, All pages within the document must be appropriately stamped to indicate this record needs to be handled differently. These records are to be submitted under separate RTF.
5.	Page Numbering	Identify the number of pages of the RTF (e.g., Page 1 of 4, Page 2 of 4, Page 3 of 4, Page 4 of 4).

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ATTACHMENT 2 (cont.)


EP-DIR-AP-10003-2

Records Disposition Form Instructions (Page 2)



6.	Record Custodian Information	Include the Transmitters information – person preparing Transmittal <ul style="list-style-type: none"> • Z # • Name (printed) • Email Address
7.	Contamination Potential?	Check the box to verify submittal has no Contamination Potential. If there is a potential the records may be contaminated, contact HPRT for Procedural Instructions per Procedure P1020-1, <i>Laboratory Records Management</i> .
8.	Transmittal Type: Record Package or Individual Records	Designate by checking the appropriate box whether the records being submitted are a Records Package (all the records support a single activity or task) or Individual Records (records do not comprise a file related to a single activity or task). Use separate RTFs to submitted records belonging to separate record packages.
9.	RPF Use Only Transmittal# Record Package # (RPF Use)	A unique transmittal number will be assigned by the RPF. For new record packages, the RPF will create a new unique number for the package. A copy of the RTF will be provided to the Record Custodian. This package number should be referenced in future transmittals if the existing package needs to be supplemented with additional records (see items 11 & 12 below).
10	<u>Records Package</u>	
	Records Package Title	If the records being submitted represent a new records package, then enter the title of the activity or task that is documented by the records being submitted.
	Records Package Supplement	If supplementing a previously submitted records package provide the Record Package Number of the package being supplemented.


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ATTACHMENT 2 (cont.)	
EP-DIR-AP-10003-2 Records Disposition Form Instructions (Page 3)	

List of Individual Records or Records in the Records Package:


1.	Record Title/Description	Enter the title as it appears on the original record. A full record title is required, if one is not available, then one must be created.
2.	Reading Room Relevant	If a record is required to be placed in the Electronic Public Reading Room (EPRR) (see definition) enter the relevant Subject; Regulatory Body; and Regulation Type from the options available. Enter NA in these blocks if the record does not need to be placed in the EPRR.
3.	Record Date	Enter the date the record was completed or approved. All records require a date. If no date is available, management can estimate the create date of the record.
4.	Record Originator(s)	Enter the first and last name of the author of the record. If there are multiple authors listed on a record include all names. Due to limited space on the RTF, 'Various' may be used in the case where many authors exist. The RPF will index all the authors listed on the record.
5.	Document #(s)	Enter the document number(s) that relate to the record. The record may have multiple document numbers, list all the numbers related to the record.
6.	ERID # (RPF Use)	Records Processing Facility assigns a unique ERID #'s to each record upon processing. This generated number is inserted into this field on the RTF for each record submitted.

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ATTACHMENT 3	
EP-DIR-AP-10003-3 Records Disposition Form	

Records Disposition Form for Departing or Transferring Individuals	
Section I.	
Departing or Transferring Individual's Name:	Z #: _____ Organizational: _____ Page 1 of 1
Departing or Transferring Individual's Responsible Line Manager:	Termination or Transfer Date: _____
Section II.	
Departing or Transferring Individual:	
<p>1. Have you created or received records in the performance of your job? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>2. If so have the records been either:</p> <ul style="list-style-type: none"> • submitted to the RPF or • provided to your Records Custodian or the Individual taking over your job responsibilities? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <p>3. Have you turned over any in-process records to either the individual taking over your job responsibilities or your RLM? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p> <p>If No to 2 or 3 and you will be unable to do so prior to your departure or transfer, notify your RLM.</p> <p>4. Who is the designated Records Custodian for your organization? _____</p>	
Departing/Transferring Individual's Signature and Date:	
Signature: _____	Date: _____
Section III.	
Responsible Line Manager: _____ <i>Printed Name</i>	
I have performed an exit interview with the departing or transferring individual to determine the status of all records being held by him or her at time of departure.	
_____	_____
<i>Responsible Line Manager Signature</i>	<i>Date of Exit Interview</i>
I have performed a walk-through of the departing or transferring employee's work area, including review of electronic files, to certify that all records have been properly submitted, or transferred to another's custody, as applicable, and that all records generated by the employee have been accounted for:	
_____	_____
<i>Responsible Line Manager Signature</i>	<i>Date of Walk-through</i>

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ATTACHMENT 4	
EP-DIR-AP-10003-4 Records Disposition Form Instruction Sheet	


Records Disposition Form for Departing or Transferring Individuals Instruction Sheet


Who should complete this form?

- Departing Individual (Any individual who will no longer be working for LANL).
- Transferring Individual (Any individual who has an organizational change AND is assigned a new work scope that relieves the individual of record responsibilities from their previous position).

Section I. – To be completed by Departing/Transferring Individual Note: RLM or designee may fill out Section I if departing or transferring individual is unavailable.	
1.	Enter the Name, Z#, and Organization of the Departing or Transferring Individual.
2.	Enter the Name of the Departing or Transferring Individual's Responsible Line Manager (RLM)
3.	Enter either the Termination Date or Transfer date of the Individual
Section II. - To be completed by Departing/Transferring Individual Note: RLM or designee may fill out Section II if departing or transferring individual is unavailable.	
1.	Check Yes, No or N/A for each of the questions, seeking assistance from the RLM, Records Custodian or RPF, if necessary.
2.	Sign and Date at the bottom of Section II. (RLM or designee sign here if individual is not available)
Section III. – To be completed by the RLM	
1.	Print your name in first block of Section III.
2.	Perform an exit interview to determine the status of records being held by the departing or transferring individual. Sign and enter the date of the interview. If individual is unavailable for an interview, enter "N/A" for the signature and date.
3.	Perform walk-through of the departing or transferring individual's area, including electronic files, to confirm that records have been properly submitted or transferred to another's custody, as applicable. Sign and date in the walk-through block of Section III.

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ATTACHMENT 5	
EP-DIR-AP-10003-5 RPF OUO / UCNI / PII Checkout Form	

RPF OUO / UCNI / PII Checkout Form		
RPF OUO/UCNI Checkout Form		Records Use only 
Request Date:		
Requestor:		Z#:
Requestor's Signature:		
ERID #:		
Purpose for record (need-to-know): <div style="text-align: center; font-size: 48px; opacity: 0.3; transform: rotate(-15deg);"> Example </div>		
Responsible Line Manager:	Date:	
RPF Use: Released by (RPF personnel): Date of release:		

ADEP

Records Management Overview

Welcome to the Records Management Overview

- EP-DIR-AP-10003 *Records Management Process for ADEP Employees* introduces you to a new **Records Management System (RMS)** using current, user-friendly **SharePoint®** technologies
- RMS implementation is an ADEP RM&DC endeavor to provide you with improved capabilities including:
 - Robust **filter/search** capabilities that use full-text search as well as property-specific search capabilities
 - Improved **data integrity** controls for greater records retrieval reliability
 - **Electronic records submittal** capability
 - Automatic feed available for **Electronic Public Reading Room** records
 - **Workflow capabilities** to enable process integration
 - **Records packaging** which allows you define how you want to package your submittals so that you may retrieve them at your defined package level.



Welcome to the Records Management Overview

- The purpose of this overview is to:
 - Instruct you in how to **access** the RMS
 - Acquaint you with improved RMS **search** features
 - Acquaint you with RMS **electronic records submittal** features
 - Acquaint you with the **Electronic Public Reading Room** feed process

Records Management System

- The new RMS was implemented in March 2011 and is the repository for Environmental Program records.
- You will find a link to the RMS in the “**Information Systems**” section of the ADEP Homepage.

INFORMATION SYSTEMS

These are SharePoint sites and work best in Internet Explorer.

- Lessons Learned
- CCATS – Correspondence Control and Action Tracking.
- Project Controls *
- Image Library
- Records Management System (RMS)

* Login required

Records Management System

- You will find more detailed instructions for using the RMS in the [SharePoint User Guide](#)

- To submit records electronically, you will use the [Electronic Transmittal link](#) and follow the detailed instructions in the [Electronic Transmittal Guide](#).

ADEP Records Management System Search

To conduct a search of the Records Management System, go to [Advanced Search](#).

For detailed search instructions, consult the [SharePoint General User Guide](#).

Remember: Limit your advanced search to the RMS by including the property search of "URL" Contains "EPRMS" (see below).

Add property restrictions...

Where the Property...

Electronic Submittal of Records?

- Use the [Standard Electronic Transmittal \(E-Trans\)](#) or
- For Submitting Public Reading Room Relevant Records, the [EPRR E-Trans](#)

For Help consult the [Electronic Submittal Guide](#) or contact the RPF.

Hardcopy Record Submittals, Use the [PDF Transmittal Form](#)

- The RMS is an “anonymous” site, if you have access to the Yellow network you may use the RMS to **search** for records, **open** records and **submit** records for inclusion in the RMS.

The RM&DC is available to help you with RMS access issues.

Records Management System

- We recommend you use the **Internet Explorer** browser to access ADEP SharePoint applications.
- We also recommend you use the **Advanced Search** feature for record retrieval. Use the “**contains**” search operator unless exact phrasing is known.
- If you wish to limit the advanced search to the RMS, use “**URL**” “**contains**” “**eprm**” as pictured.

Advanced Search For EPRM

Find documents with...

All of these words:

The exact phrase:

Any of these words:

None of these words:

Narrow the search...

Result type:

Add property restrictions...

Where the Property...

Records Submittal Process

You have **two options** for transmitting records to the Records Processing Facility (RPF)* for inclusion in the RMS:

- **Hard copy** records transmittal
- **Electronic** records transmittal
 - This option will
 - Make it **easier** for you to **submit** your records to the RPF
 - Enable **faster processing** for earlier RMS availability
 - **Eliminate** the requirement for you submit **hardcopy** records.

Let's take a look at how you can take advantage of the
RMS Electronic Transmittal capabilities



*RPFs are located at Pueblo Complex, FOD-9, and TA-46.

Records Submittal Process

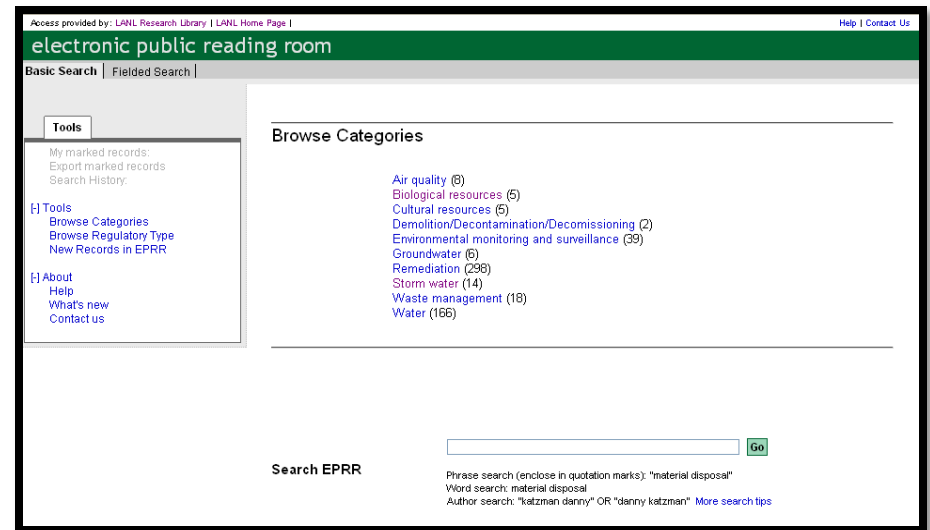
The following tips will help you prepare your electronic files for transmittal:

- **Convert** electronic records directly to PDF
- Scan **signature pages** and combine with the converted PDF file
- If you must scan a hard copy to PDF **enable the Optical Character Recognition (OCR)** in Adobe® to enable full text search in the RMS
 - **Avoid** image **skewing** or **speckle** which compromises OCR quality
 - Scan you records at **300 dpi** resolution or greater
- If you have files that are **more than 500 MB**, contact RPF adep_edms@lanl.gov and we will provide alternatives to accommodate them
- You may submit **non-PDF electronic records**, but only if the electronic record cannot be converted to PDF or would lose value or content if converted.

Records Submittal Process

Electronic Public Reading Room records

- Regulations such as the Individual Permit, Multi-Sector General Permit, or the Resource Conservation and Recovery Act require applicable regulatory records to be placed in the electronic public reading room (EPRR).
- The EPRR is administered by the LANL Research Library.
- The **RMS automates the feed for EPRR relevant records** to the Research Library for inclusion in the EPRR.
- If your records are to be included in the EPRR, you must identify them as EPRR relevant records in the Records Transmittal Form (RTF) by completing EPRR specific information blocks.



Records Submittal Process

Electronic Record Submittal Steps

- You can create a **transmittal** to submit records **electronically** by going to the RMS and selecting one of two transmittal options:
 - Standard Electronic Transmittal (e-Trans) for non-EPRR relevant records, or
 - EPRR e-Trans for EPRR relevant records.

ADEP Records Management System Search

To conduct a search of the Records Management System, go to [Advanced Search](#).

For detailed search instructions, consult the [SharePoint General User Guide](#).

Remember: Limit your advanced search to the RMS by including the property search of "URL" Contains "EPRMS" (see below).

Add property restrictions...

Where the Property...

Electronic Submittal of Records?

- Use the [Standard Electronic Transmittal \(E-Trans\)](#) or
- For Submitting Public Reading Room Relevant Records, the [EPRR E-Trans](#)

For Help consult the [Electronic Submittal Guide](#) or contact the RPF.

Hardcopy Record Submittals, Use the [PDF Transmittal Form](#)

Non-EPRR
relevant

EPRR
relevant

Records Submittal Process

Electronic Record Submittal Steps (continued)

LANL Environmental Programs (EP) Directorate, Records Transmittal Form

Transmittal Date: 2/2/2011 Office of Record: Waste Disposition Project

Subcontractor: NA OOU / UCNI / PII:

Transmitter Z-Number: Black, Krista D

RPF Use Only:
Transmittal #: _____ New Record Package #: _____

Not part of a Record Package

Constitute a new Record Package
Title: _____

Supplement an Existing Record Package
Record Package # of Package being supplemented: _____

Number of records in this transmittal: 1

Record Title/Description	Record Date	Record Originators	Document #(s)	Record	ERID # (RPF Use Only)
Test Title	2/1/2011	Black, Krista Danielle	EP-TEST-00001	<input type="text" value="Click here to attach a file"/>	

Insert item

Save and Close Submit Close

- Complete the Electronic RTF and use the “paperclip” button in each record line item to attach the corresponding electronic records.

- When complete, click the “SUBMIT” button to submit the records to RPF for processing.

For more detailed instructions, refer to the Electronic Submittal User’s Guide available on the RMS.

Records Submittal Process

Records Package Process

- You can use the records package process to **relate records** to a specific topic or task that may be **meaningful to your organization in records retrieval**.
- Some examples of records packages include: 1) records produced in an audit, 2) records created in the development and review of a procedure or a technical product, 4) records produced in the course of completing a project, etc.
- The RPF will provide you a **unique records package number** on your returned RTF.
- You can **supplement an existing records package** with records in later transmittals by referencing the records package number on the RTF.

Records Submittal Process

Records Package Process (continued)

- You can use your records package number(s) to **retrieve records at the package level** in the RMS.
- Previously created records package numbers are no longer available as a pull down list on the RTF, but are available on the RM&DC webpage.
- Newly assigned records package numbers will be **communicated via a returned copy of the RTF** to the record transmitter after processing by the RPF.
- Records packages are no longer required, but are **optional**, on the RTF.

Records Submittal Process

Records Package Process (continued)

- Use this section of the RTF to indicate your **records packaging preferences**.

Not part of a Record Package

Constitute a new Record Package
Title:

Supplement an Existing Record Package
Record Package # of Package being supplemented:

Briefing Conclusion

We encourage you to call on us to facilitate your transition to the new ADEP RMS and EP-DIR-AP-10003 *Records Management Process for ADEP Employees* processes.

- Contact us for information or **training** on the new system / process, at: ep_records@lanl.gov.
- Contact us for Instructions on rendering electronic records to **PDF**, enabling **OCR**, the **Electronic Records Transmittal** process or other new processes at: ep_records@lanl.gov.

Briefing Conclusion

Congratulations

You have completed the ADEP Records Management Briefing

Click here to obtain credit for this training briefing:

[Click here for “Required Read” credit.](#)