

EP-DIR-AP-10003, R.4

RECORDS MANAGEMENT PROCEDURE FOR ADEP EMPLOYEES

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Records Management Procedure for ADEP Employees*Administrative Procedure*

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REVISION HISTORY

Document No./Revision No.	Issue Date	Action	Description
EP-DIR-AP-10003, R0	6/8/11	Major revisions	New document number assigned; Supersedes EP-DIR-SOP-4004, Revision 3
EP-DIR-AP-10003, R1	02/23/12	Major revisions	Changes reflect current record submittal process; Added Copyright Guidance as Attachment 6.
EP-DIR-AP-10003, R2	03/06/12	Minor revision	Corrected metric type on page 14 of document and on briefing Slide 11, Bullet 4; Corrected e-mail address on briefing Slide 11, Bullet 4; Added footers to Attachments 2, 4, and 6.
EP-DIR-AP-10003, R3	6/13/12	Major revision	Remove hardcopy Records Transmittal Form (RTF) and replace with standard Electronic Transmittal Form (E-Trans) for record submittals.
EP-DIR-AP-10003, R4	2/6/13	Major revision	Added language to include new Transmittal Level records process and update Attachment Screen shots.

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1. 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-0001, *Quality Assurance Plan for the Environmental Programs Directorate*.

2. REFERENCES

EP-DIR-QAP-0001, *Quality Assurance Plan for the Environmental Programs*

PD1020, *Document Control and Records Management*

P1020-1, *Laboratory Records Management*

EP-DIR-PLAN-10002, *ADEP Directorate Records Management Plan*

EP-DIR-AP-10005, *Records Processing*

EP-DIV-GUIDE-10001, *Records Indexing Guideline for the SharePoint Records Management System (RMS)*

3. DEFINITIONS AND ACRONYMS

3.1 DEFINITIONS

Copyright material – Item(s) subject to copyright law because the copyright owner has a legal right to the exclusive publication, production, sale or distribution of the work.

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.

E-mail Record - E-mail 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 e-mail 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.

3.1 Definitions and Acronyms (continued)

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.

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.

3.1 Definitions and Acronyms (continued)

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 (RS) - 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 (RC) - 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 management requirements, the RM POC assists ADEP personnel in the implementation of the ADEP records management plan and procedures.

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

3.1 Definitions and Acronyms (continued)

Responsible Line Manager (RLM) - An individual, who establishes the organizational file stations(s), designates Records Custodians, approves the organization’s file plan, reviews and approves records

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.

3.2 **Acronyms**

ADEP	Associate Directorate for Environmental Programs
CUI	Controlled Unclassified Information
DOE	Department of Energy
EPRR	Electronic Public Reading Room
ERID	Environmental Records Identification Number
E-TRANS	Electronic Transmittal Form
FOD	Facility Operations Director
FOIA	Freedom of Information Act
GRS	General Records Schedule
IRM-RMS	Information Resource Management – Records Management Services
LANL	Los Alamos National Laboratory
NARA	National Archives and Administration
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

3.2 Acroynms (continued)

RM POC	Record Management Point of Contact
RMS	Records Management System
RPF	Records Processing Facility
RS	Record Source
SOP	Standard Operating Procedure
UCNI	Unclassified Controlled Nuclear Information

4. BACKGROUND AND PRECAUTIONS

4.1 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-RMS) 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.

4.2 Precautions

This procedure does not address requirements for handling classified records.

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.

5. EQUIPMENT AND TOOLS

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

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

6. RESPONSIBILITIES

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

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

7. STEP-BY-STEP PROCESS DESCRIPTION

7.1 Identifying Records and Establishing File Systems

RLM

[1] Designate Records Custodian

Designate and document in writing the RCs for the organization. Submit written designations to the RPF by e-mail 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.

RM POC

[2] Develop and Maintain File Plan

Develop and maintain an ADEP Organizational File Plan for long-term and vital 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.

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 Standard Form SF115 (National Archives and Records Administration form).

RM POC

[3] Coordinate SF-115 preparation with RMS. 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.

7.1 Identifying Records and Establishing File Systems (continued)

- [6] Obtain RLM approval
- [7] Obtain RMS 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.

7.2 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

7.3 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.
- [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.

7.3 Create/Receive Records (continued)

- [3] Retaining copies of copyright material, digitally or in hard copy, without having obtained copyright clearance is an infringement of copyright law. If a record includes copyrighted material refer to the copyright guidance provided in Attachment 6 of this procedure.
- [4] 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.
- [5] 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.
- [6] 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.
- [7] 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.*
- [8] E-mail that documents 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.
- [9] 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*.
- [10] Verify electronic records are not corrupt or password protected.

7.4 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.

7.5 Disposition Records

7.5.1 Submit Records to RPF

NOTE: E-Trans is used to submit electronic and hardcopy record submittals.

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 Regulatory Management ARD&PC RM main page.

NOTE: Record submittals to the RPF may be processed at the transmittal level per agreement with the transmitting organizations.

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 be submitted to the RPF within 90 days of completion of the record or completion of the activity that the record supports.
- [2] 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.

7.5.1 Submit Records to RPF (continued)

- [3] Do not submit non-record material to the RPF (see definition).

RC/RS

- [4] Include copyright clearance or legal allowance documentation with record submittals that include copyright content. Records with copyright protected content submitted to the Records Processing Facility (RPF) without copyright clearance or legal allowance documentation will **not** be imaged.

[5] For Hardcopy Record Submittals:

- 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.
- Complete an E-Trans Form and print out for submittal of hardcopy records.
- Complete a separate E-Trans for CUI records (i.e., OOU, UCNI, PII records).

NOTE: A link to the E-Trans Form is located on the ADEP RMS SharePoint Site

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 Electronic Transmittal Form (E-Trans). A records package can be supplemented with additional records in future transmittals by referencing the applicable records package number on the E-Trans. 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.

- 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 E-Trans (Attachment 1 or equivalent). For hardcopy submittals put colored separator sheets between each record and print completed E-Trans Form.
 - If the records supplement a previously submitted records package, then indicate that on the E-Trans and select the RPF-assigned records package number.
- Complete a separate E-Trans for each records package providing a title for a new records package and listing each record in the package on the E-Trans.
- Complete an E-Trans when submitting individual records, i.e., records that don't belong to a records package, and list each record submitted.
- Add the phrase "Vital Record" after the Record Title on the E-Trans when submitting Vital Records (see definition in Section 7).

7.5.1 Submit Records to RPF (continued)

- Provide the final original as well as a copy of logbook/notebook submittals to RPF.
- Coordinate with the RPF staff before large volumes of records are submitted.
- Identify records required in the Electronic Public Reading Room (EPRR) on the E-Trans (see definition of Reading Room Relevant).
- Submit hardcopy records using the following options:
 - Drop off the E-Trans and hardcopy record(s) at the RPF located in TA-00, Bldg. 1237, Room 109, or deliver to the designated DCC site which is listed on the ADEP SharePoint website.
 - Send E-Trans and hardcopy record(s) via interoffice mail to RPF, MS M707, or to the designated DCC site which is listed on the ADEP SharePoint website.

RC/RS

[6] For Electronic Record Submittals:

- 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, speckled or improperly rotated (Landscape vs Portrait). Scan records at 300 dpi resolution or greater and ensure the final PDF is text searchable using optical character recognition (OCR) tools as necessary. Exceptionally large files (over 25 mb or 25,000 kb) may be transferred through the LANL FTP Site.

Submit PDF records electronically in one of the following ways:

- a) Using an Electronic Transmittal Form (E-Trans):
 - 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.
 - Complete the transmittal and record information and attach the corresponding PDF records to the transmittal. The record package concept described above is available on the electronic transmittal also.

6. Electronic Record Submittals (continued)

Submit PDF records electronically in one of the following ways (continued)

- When completed click on the Submit button to submit the records to the RPF for processing.

NOTE: Review the user guide for instructions 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.

b) Through an Electronic Transfer Protocol:

- Coordinate with RM&DC to develop the interface necessary to electronically transmit records from an existing SharePoint Site to the RMS (e.g. Subcontractor record submittals, Correspondence Control records). The required transmittal information will be captured through this process and therefore an E-Trans is not required.

[7] Submitting E-mail Records to RPF:

ADEP personnel who create or receive an e-mail determined to be a federal record (See Section 7.3 Item 8) may submit the e-mail to the RPF without an Electronic Transmittal Form.

For created e-mail, after sending the e-mail to the intended recipients, forward the sent e-mail to the RPF at email@SharePoint2010.lanl.gov.

For e-mail received from outside the ADEP organization, the first member of the ADEP workforce is responsible for submitting the e-mail by forwarding it to the RPF at email@SharePoint2010.lanl.gov.

- If you are responsible for submitting the e-mail:
 - **Open** the e-mail and click **Forward**.
 - In the "To" line, enter email@SharePoint2010.lanl.gov
 - Type the following information in the body of the e-mail: Record Originator, Originator Organization, and Office of Record. **NOTE:** Because this added information is often the same it is recommended that a Microsoft Outlook Signature be setup and used.
 - Press **Send**.

NOTE: If the attachment is a record, submit it via the E-Trans Process.

E-mail attachments will not be processed with the e-mail. Attachments that may be copies of records should be submitted when completed in one of the manners described in a) or b) above.

E-mail records forwarded to the RPF that contain Controlled Unclassified Information (CUI) must be marked in accordance with P204-1, Controlled Unclassified Information (CUI).

7.5.1 Submit Records to RPF (continued)

[8] 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.

- Records such as data files that may be numerous and of limited value individually may be combined (zipped) and submitted as a single unit. Consult the RPF for guidance.
- If the Electronic Transmittal is not a practical means or is inaccessible for submitting electronic records, they may be submitted via other means as arranged by the RPF (e.g. DVD, File Transfer Protocol (FTP)). NOTE: These CDs/DVDs will not be maintained by the RPF.

[9] An acceptance acknowledgement e-mail is sent to the transmitter when the RPF accepts a submitted E-Trans. Another e-mail notification is sent when the RPF completes processing the records.

NOTE: The RPF will contact the record transmitter if any corrections are required with the submitted records.

[10] Records submitted electronically are electronically dual stored per EP-DIR-AP-10005 Records Processing Procedure.

7.5.2 Transfer Records to IRM-RMS

RPF Personnel

[1] Complete and send to IRM-RMS Form 1701 in accordance with P1020-1, *Laboratory Records Management*, for submittal of hardcopy records to IRM-RMS. Create a Record Storage Transfer Log entry in the RMS.

IRM-RMS 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, *Laboratory Records Management*. Send a copy of the processed 1701 form back to the RPF.

7.5.2 Transfer Records to IRM-RMS (continued)

RPF Personnel

[3] Upon receipt of the processed 1701 form, update the Records Storage TR Log with the Transfer Request Number and attach a scanned copy of the form.

7.5.3 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

- [1] Complete the following prior to destroying records that have met their retention period in accordance with the applicable record schedule:
 - Contact the IRM-RMS to verify that the records have met their retention period.
 - Upon verification, complete 1704 form, *Certificate of Records Destruction (Unclassified and Classified)*, and obtain RLM approval.
 - Submit the RLM approved 1704 form, *Certificate of Records Destruction (Unclassified and Classified)*, to IRM-RMS for approval.
- [2] Upon notification of IRM-RMS approval, destroy records in accordance with IRM-RMS instructions.

7.5.4 Records Disposition for Departing or Transferring Individuals

RLM

- [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

- [1] Complete Sections I and II of Attachment 3 in accordance with the instructions provided in Attachment 4, sign and date, and provide to the RLM.

RLM

- [2] Perform the exit interview and walk-through indicated in Section III of Attachment 3.

7.5.4 Records Disposition for Departing or Transferring Individuals (continued)

- [3] 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.
- [4] 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.
- [5] 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.
- [6] Submit the completed form to the RPF.

7.6 RETRIEVE RECORDS

Record Requester

- [1] To retrieve records from the ADEP RMS, access the RMS from the ADEP home page.

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., legacy CD, DVD);
 - Record that could not be imaged.

Contact the RPF for retrieval of the record in these cases. For access to records containing CUI, send an e-mail to the RPF at ep_records@lanl.gov from the RLM asserting the requestor's need-to-know is required. If e-mail 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.

8. RECORDS

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

Record Identification	Record Type Determination	Protection/Storage Methods	Processing Instructions
E-mails Designating Records Custodians	E-mail	Submit records in accordance with EP-DIR-AP-10003, Records Management Procedure for ADEP Employees.	Process in accordance with EP-DIR-AP-10005, Records Processing Procedure.
Records Disposition Forms for Departing or Transferring Individuals, with any applicable justifications or explanations attached	Form		
File Plans for ADEP organizations	Plan		
E-mails verifying need-to-know for CUI requests or OUO/UCNI/PII Checkout Form	E-mail Form		

9. ATTACHMENTS

- Attachment 1 & 1a Electronic Transmittal Forms (E-Trans) – both Standard and EPRR version
- Attachment 2 Electronic 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
- Attachment 6 Copyright Guidance

ATTACHMENT 1

Page 1 of 2

Electronic Transmittal Form (E-Trans) - Standard

LANL Environmental Programs (EP) Directorate, Records Transmittal Form

Transmittal Date: Office of Record:

Hardcopy Submittal? Subcontractor:

OUO / UCNI / PII: Subcontract #:

Storm Water Submittal?

Transmitter Z-Number: *Required

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: View [Record Packages list](#) to determine correct Pkg. No. to select

Number of records in this transmittal:

Do not discard your copy of the attached record(s) prior to receiving the email notification that your transmittal has been Accepted.

Record Title	Record Date	Record Originators	Document #(s)	Wells	Record	ERID # (RPF Use Only)
					Click here to attach a file	

Insert Item

Remarks: _____

Page 2 of 2
ATTACHMENT 1a
Electronic Transmittal Form (E-Trans) – EPRR

LANL Environmental Programs (EP) Directorate, Records Transmittal Form

Transmittal Date: 1/14/2013 Office of Record:

Hardcopy Submittal? Subcontractor: NA

OOU / UCNI / PII: Subcontract #: NA

Storm Water Submittal?

Transmitter Z-Number: Required

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: View Record Packages list to determine correct Pkg. No. to select

Number of records in this transmittal:

Do not discard your copy of the attached records until you receive the same notification that your transmittal has been Accepted.

These columns must be completed if the record is to go to the EPRR									
Record Title	Record Date	Record Originator	Document # (s)	Wells	Subject - Enter number for each Subject that applies (e.g. 1,4,9) 1. Air Quality 2. Biological Resources 3. Cultural Resources 4. Demolition/Decontamination/Decommissioning 5. Environmental Monitoring and Surveillance 6. Groundwater 7. Remediation 8. Storm Water 9. Waste Management	Regulator - Enter number for each Regulator that applies 1. NREED 2. US EPA 3. DOE	Regulation Type	Record	ERID # (RPF Use Only)
							<input type="checkbox"/> RCRA <input type="checkbox"/> IS <input type="checkbox"/> Consent Order <input type="checkbox"/> DOE Order	<input type="checkbox"/> Click here to attach a file	

Print Form

Remarks:

ATTACHMENT 2

Page 1 of 2

Electronic Transmittal 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

- An Electronic Transmittal Form (E-Trans) must be submitted with all record submittals except records using auto-submittal capability from another SharePoint site or an email records submittal.
- The on-line Electronic Transmittal Form includes self expanding fields to accommodate all information required. 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 Electronic 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.	Subcontract #	From the drop down menu, choose the appropriate Subcontract #.
5.	Hardcopy Submittal?	Check the box if the records are going to be submitted in hardcopy form rather than attaching an electronic copy to E-Trans. If submitted in hardcopy form printout this form when completed and submit with the hardcopy records.
6.	No 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> .
7.	OUO / UCNI / PII	Check the box 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 E-Trans.
8.	Storm Water Submittal?	Check the box if submitting Storm Water records.
9.	Transmitter Z Number	Enter Z# of person preparing Transmittal then click on the icon to the right of the field.

Records Management Procedure for ADEP Employees

Administrative Procedure

Document No.: EP-DIR-AP-10003

Revision: 4

Effective Date: 2/6/13

Page: 23 of 27

10.	RPF Use Only Transmittal #	A unique auto generated transmittal number will be assigned after the E-Trans is submitted.
	Record Package #	For new record packages, the RPF will create a new unique number for the package. A copy of the E-Trans will be provided to the Transmitter. This package number should be referenced in future transmittals if the existing package needs to be supplemented with additional records.
11.	Transmittal Type:	Designate by checking the appropriate box whether the records being submitted are:
	Not Part of a Record Package	Individual Records not part of a Record Package (records do not comprise a file related to a single activity or task).
	Constitute a new Record Package	Constitutes a new Record Package (all the records support a single activity or task) is required if a record being submitted represents a new records package. Enter in the Title: block the name you want to call this new record package.
	Supplement an Existing Record Package	If supplementing a previously submitted records package select the applicable Record Package Number by clicking on the Record Package list link
		NOTE: Use separate E-Transs to submitted records belonging to separate record packages.
12.	Number of records in Transmittal	Enter the number of records that are being transmitted for each line item on this form.

List of Individual Records or Records in the Records Package:

1.	Record Title	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.	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.
3.	Record Originator(s)	Enter the last and first 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 E-Trans, 'Various' may be used in the case where many authors exist. The RPF will index all the authors listed on the record.
4.	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
5.	Wells	Enter all well number(s) that relate to the record. The record may have multiple well numbers.
6.	Reading Room Relevant (NOTE: Only on EPRR E-Trans Form)	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.
7.	Record Attachment	Click to attach a file. Browse and select appropriate document to upload.
8.	ERID # (RPF Use Only)	Records Processing Facility assigns a unique ERID # to each record upon processing. This number is inserted into this field on the E-Trans for each record submitted.

ATTACHMENT 3

Page 1 of 1

Records Disposition Form for Departing or Transferring Individuals

Records Disposition Form for Departing or Transferring Individuals			
Section I.			
Departing or Transferring Individual's Name:	Z #:	Organizaton:	Page 1 of 1
Departing or Transferring Individual's Responsible Line Manager:		Termination or Transfer Date:	
Section II.			
<p>Departing or Transferring Individual:</p> <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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p> <p style="padding-left: 20px;">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>			
<p>Departing/Transferring Individual's Signature and Date:</p> <p>Signature: _____ Date: _____</p>			
Section III.			
<p>Responsible Line Manager: _____</p> <p style="text-align: center; font-size: small;"><i>Printed Name</i></p>			
<p>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.</p> <p>_____</p> <p style="display: flex; justify-content: space-between;"><i>Responsible Line Manager Signature</i> <i>Date of Exit Interview</i></p>			
<p>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:</p> <p>_____</p> <p style="display: flex; justify-content: space-between;"><i>Responsible Line Manager Signature</i> <i>Date of Walk-through</i></p>			

ATTACHMENT 4

Page 1 of 1

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.

ATTACHMENT 5

Page 1 of 1

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): Example		
Responsible Line Manager:	Date:	
RPF Use: Released by (RPF personnel): Date of release:		

ATTACHMENT 6

Page 1 of 1

Copyright Guidance

Top 10 points in the use of copyright materials:

1. Assume that all external works (except U.S. government works) are copyright protected, unless able to establish otherwise, and obtain clearance before copying protected works.
2. Visit the U.S. Copyright Office web site for more information on copyright law
3. Cite Research Library links in your document rather than including copied content when referencing materials available in the LANL Research Library.
4. Use website information to obtain an authoritative e-mail address to use in requesting clearance to maintain a digital copy of copyright material in the RMS/DCS.
5. There may be cases in which the copyright holder will require payment for copyright clearance. There may be cases in which the copyright holder will not grant clearance. Do not retain or distribute copies of copyright material if clearance terms are not met or clearance will not be granted.
6. Clearances should explicitly state the manner in which the material will be used (e.g., republish in a document, maintain electronically, post on the Internet or an intranet, retain in the RMS/DCS or distribute X number of copies internally or externally).
7. Incorporate language in procurement subcontracts to specify clearance agreement for maintaining a digital copy of vendor materials in the RMS/DCS.
8. Subcontractors are required to obtain proper copyright clearance for materials delivered to LANS through their contract.
9. Seek LANS Legal approval of copyright fair use in cases for which you think it may apply.
10. Limited information on copyright law can be provided by the RM&DC Staff who will contact LANS Legal for advice regarding complex copyright questions.

ADEP

Records Management Overview

Welcome to the Records Management Overview

- EP-DIR-AP-10003 *Records Management Process for ADEP Employees* introduces you to the ADEP **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
 - Acquaint you with the streamlined **Email Submittal process**.
 - Acquaint you with using the **E-Trans Form for hardcopy record submittals**

Records Management System

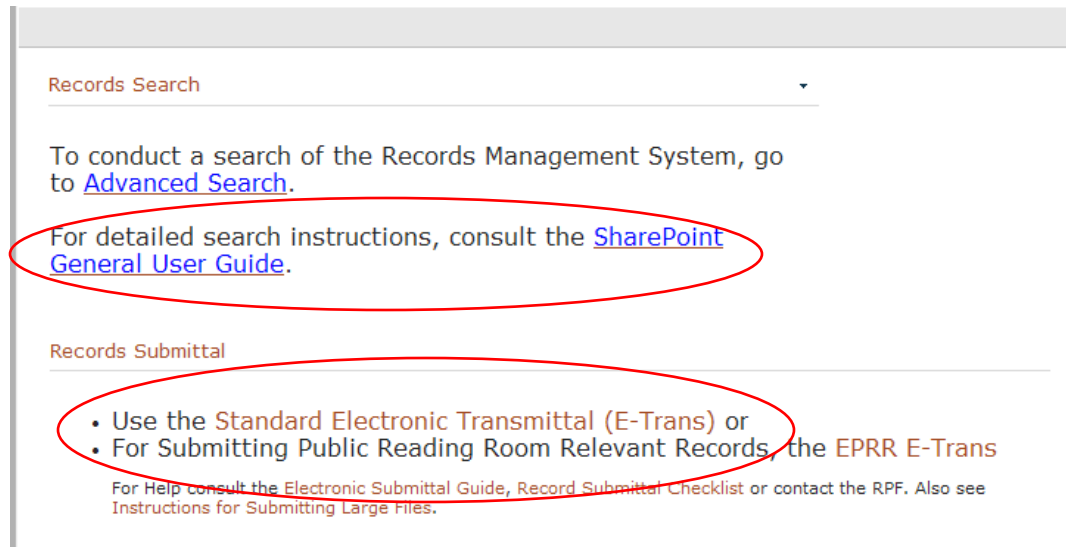
- The RMS is the repository for Environmental Program records.
- You will find a link ADEP's Information Systems on the ADEP Homepage.

The screenshot shows the ADEP homepage with a navigation bar at the top containing 'Computing', 'Employees', 'Environment', 'Finance', 'News', 'Safety', and 'S'. Below the navigation bar, there is a breadcrumb trail: 'Organization » PADCAP » ADEP'. The main content area is titled 'Environmental Programs' and features a large image of a white hard hat. To the left of the main content is a sidebar with a 'Capital Projects' section. Under 'Capital Projects', there is an 'ADEP' section with a list of links: Business Project Services, Corrective Actions Program, Engineering & Technology, LANL TRU Program, Regulatory Management, Waste Projects and Services, and Safety/WSST. Below this is a 'Project Management Function' section and a 'Functions Organization' section. The main content area also includes a 'News and Events' section with text about Environmental News Briefs, a section for 'Enter your BBS Observation' with a date and count, and a section for 'ADEP Information Systems' which includes a red circle around the link 'ADEP SharePoint Sites*'. Below this is a note for Firefox users and an 'Administrative Services' section.

The screenshot shows the ADEP SharePoint site interface. At the top, there is a 'Site Actions' menu and a 'Browse' button. Below the navigation bar, there is a 'Site Pages' section with a list of links: ADEP Sites, Centralized Subcontractor Submittal System, Contractor Assurance, Correspondence Control and Action Tracking, Document Control System, Image Library, Lessons Learned, PBI Performance, Records Management System, and SharePoint Systems Management. The 'Records Management System' link is circled in red. Below this is a section for 'Important ADEP Links' with a link to 'Environmental Stewardship Blog'. At the bottom, there is a section for 'Organization-Specific Collaboration Sites (login required)' with a list of links: ADEP Admin Documents and Tracking Site, Deliverable Compliance, Drilling STRs, LANL Waste Programs, Outreach and Communication Libraries, Presentations and Slides, Project Controls, and ADEP Project Management Documents.

Records Management System

- You will find more detailed instructions for using the RMS in the [SharePoint User Guide](#)
- To submit records electronically or hardcopy, you will use the [Electronic Transmittal link](#) and follow the detailed instructions in the [Electronic Transmittal Guide](#).



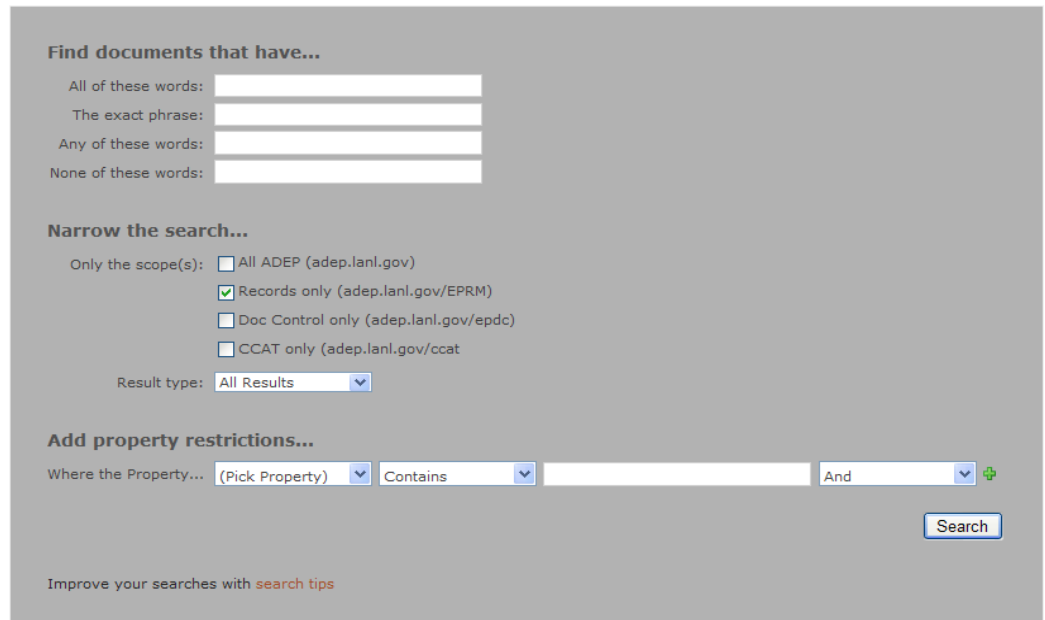
The screenshot displays the 'Records Search' section of the RMS interface. It includes a search bar and instructions: 'To conduct a search of the Records Management System, go to [Advanced Search](#).' Below this, a red oval highlights the text: 'For detailed search instructions, consult the [SharePoint General User Guide](#).' The 'Records Submittal' section follows, with a red oval highlighting a bulleted list: '• Use the Standard Electronic Transmittal (E-Trans) or • For Submitting Public Reading Room Relevant Records, the EPRR E-Trans'. Below the list, it says 'For Help consult the [Electronic Submittal Guide](#), [Record Submittal Checklist](#) or contact the RPF. Also see [Instructions for Submitting Large Files](#).'

- 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.
- Contact the RPF for set-up access to the E-Trans system.

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 more detailed information, you may choose multiple selections by using ‘Add property restrictions’ pull down list.



The screenshot displays the 'Advanced Search' interface for the ADEP system. It is organized into several sections:

- Find documents that have...**: This section contains four search criteria, each with an adjacent text input field:
 - All of these words:
 - The exact phrase:
 - Any of these words:
 - None of these words:
- Narrow the search...**: This section includes a 'Only the scope(s):' section with four checkboxes:
 - All ADEP (adep.lanl.gov)
 - Records only (adep.lanl.gov/EPRM)
 - Doc Control only (adep.lanl.gov/epdc)
 - CCAT only (adep.lanl.gov/ccat)Below this is a 'Result type:' dropdown menu currently set to 'All Results'.
- Add property restrictions...**: This section features a search query builder with the following elements:
 - 'Where the Property...' dropdown menu set to '(Pick Property)'
 - 'Contains' dropdown menu
 - A text input field for the search term
 - 'And' dropdown menu
 - A green plus icon for adding more restrictions
 - A 'Search' button
- At the bottom, a link reads: 'Improve your searches with [search tips](#)'

Records Submittal Process

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

- **Hard copy** records transmittal
- **Electronic Record Files** transmittal
- **Email Files**
 - These options
 - Make it **easier** for you to **submit** your records to the RPF
 - Enable **faster processing** for earlier RMS availability
 - **Eliminate** the requirement for you to submit **hardcopy** records.

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



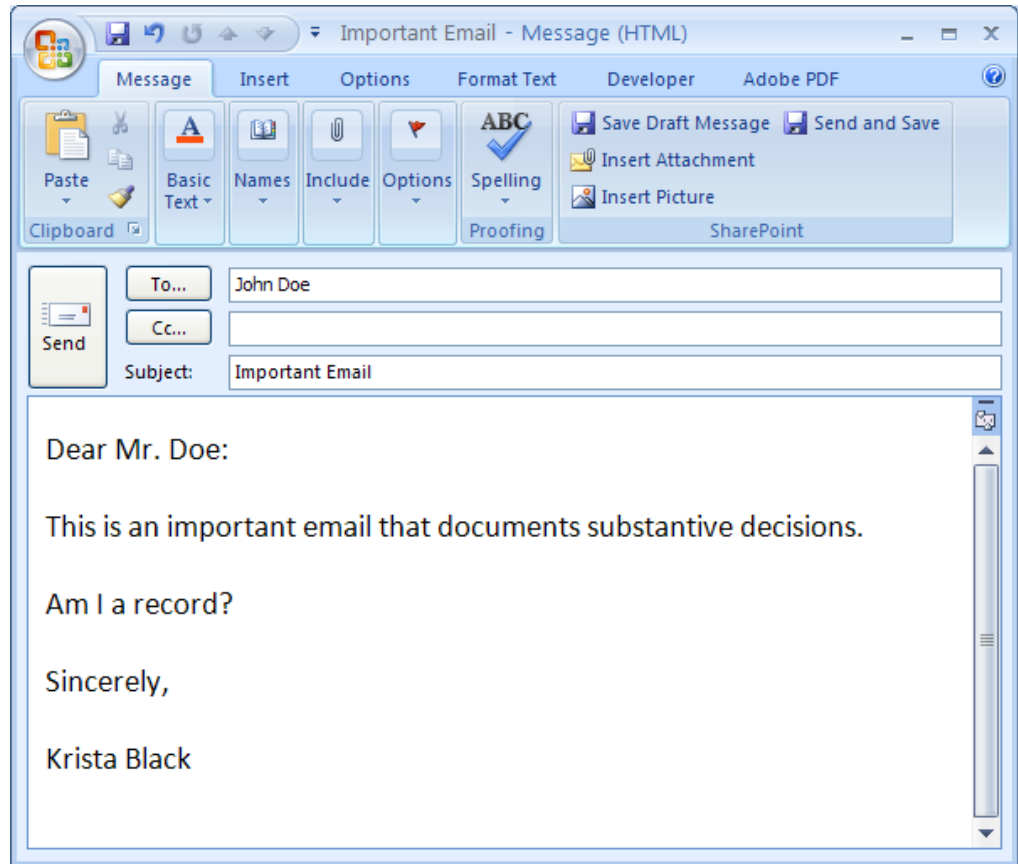
Slide 7

Records Submittal Process: Email Submittal

What is a record email?

One that documents:

1. Substantive issues
2. Decisions
3. Direction regarding
 1. Project Scope
 2. Budget
 3. Schedule
 4. Milestones
 5. Deliverables
 6. Technical Management
 7. Administrative Issues

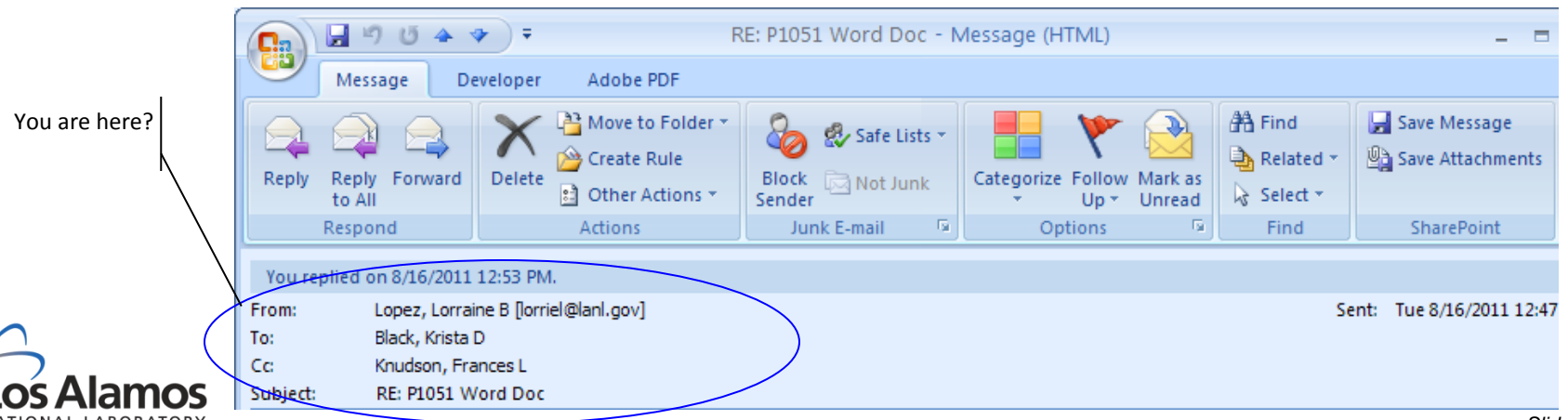


AND equivalent information is NOT captured in another more formal record.

Records Submittal Process: Email Submittal

Who submits the email?

1. If sender is an ADEP employee, **sender** submits the email.
2. If sender is **not** an ADEP employee, the first ADEP employee listed in the “To” line submits the email.
3. If sender is **not** an ADEP employee and none of the “To” line recipients are ADEP employees, the first ADEP employee listed in the “Cc” line submits the email.



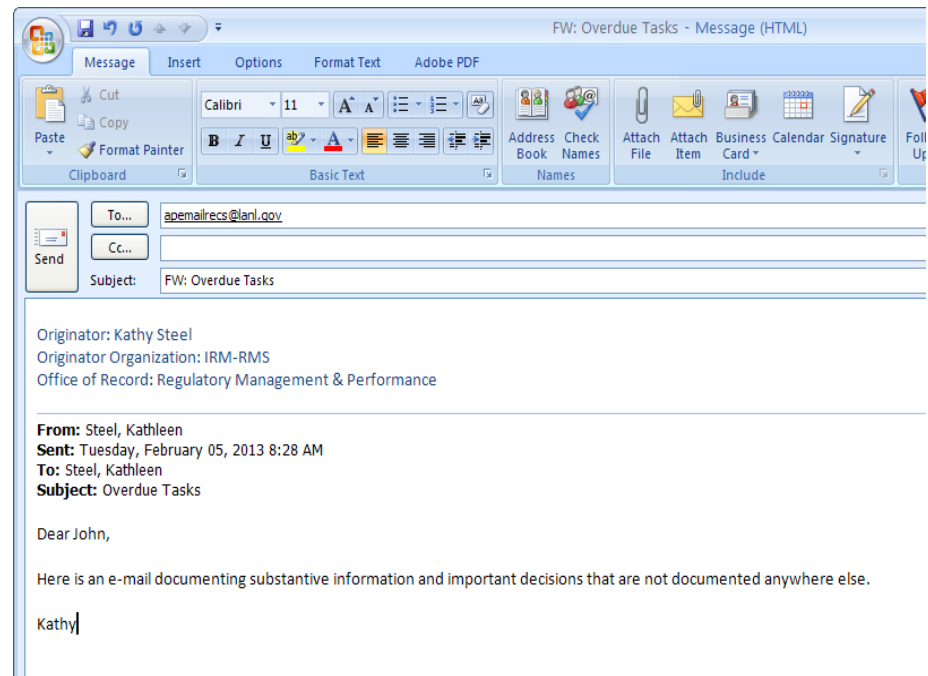
Records Submittal Process: Email Submittal

How do I submit the email?

1. Open the email and click Forward.
2. In the “To” line, enter epemailrecs@lanl.gov.
3. Type the following information in the body of the email: Record Originator, Originator Organization, and Record Office of Record.
4. Press Send.

- NOTE: If the attachment is a record, submit it via the [E-Trans Process](#).

- NOTE: It is recommended that the Microsoft Outlook Signature be used.



Records Submittal Process

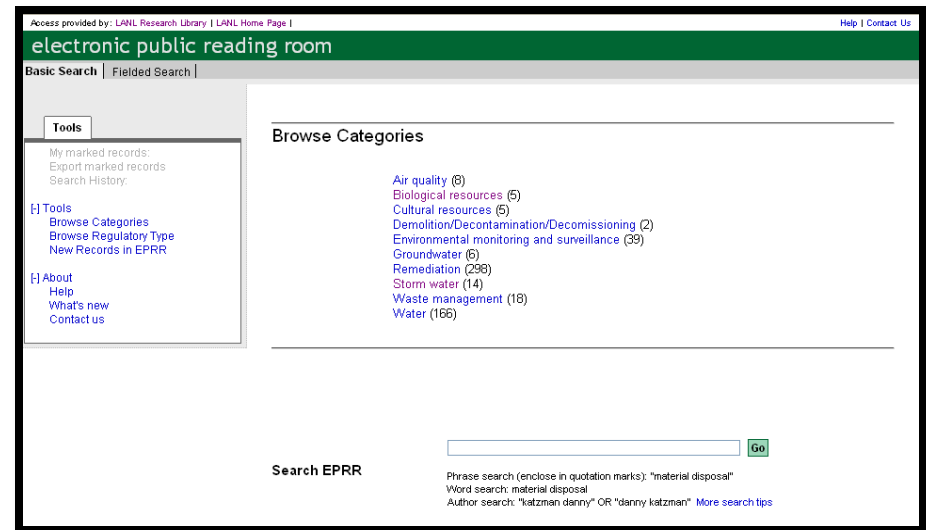
The following tips will help you prepare your **Electronic Record Files** for transmittal:

- **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 ep_records@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 (E-Trans) by completing EPRR specific information blocks.



Records Submittal Process

Electronic Record Submittal Steps

- You can create a **transmittal** to submit records **electronically or hardcopy** 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.

The screenshot shows the ADEP Records Management System interface. At the top, it says "ADEP Records Management System". Below that, there is a "Records Search" section with a dropdown menu. The text below the search section reads: "To conduct a search of the Records Management System, go to [Advanced Search](#). For detailed search instructions, consult the [SharePoint General User Guide](#)." Below this is a "Records Submittal" section with a list of options: "Use the **Standard Electronic Transmittal (E-Trans)** or For Submitting Public Reading Room Relevant Records, the **EPRR E-Trans**". At the bottom of the submittal section, it says: "For Help consult the [Electronic Submittal Guide](#), [Record Submittal Checklist](#) or contact the RPF. Also see [Instructions for Submitting Large Files](#)." On the left side of the screenshot, there is a vertical navigation menu with the following items: "ry", "pg", "Site", and "te".

Non-EPRR
relevant

EPRR
relevant

Electronic & Hardcopy Record Submittal Steps (continued)

- Complete the Electronic E-Trans and use the “**paperclip**” button in each record line item to attach the corresponding electronic records. When electronic record submittal is complete, click the “**SUBMIT**” button to submit the records to RPF for processing. For hardcopy records submittal, print out E-Trans Form, and submit with the hardcopy record for processing. (See slide 15 as an example)

Records Submittal Process

Electronic & Hardcopy Record Submittal Steps (continued)

LANL Environmental Programs (EP) Directorate, Records Transmittal Form

Transmittal Date: 2/5/2013 Office of Record: [dropdown]

Hardcopy Submittal? Subcontractor: NA [dropdown]

OUO / UCNI / PII: Subcontract #: NA [dropdown]

Storm Water Submittal?

Transmitter Z-Number: [input] *Required

RPF Use Only:

Transmittal #: [input] New Record Package #: [input]

Not part of a Record Package

Constitute a new Record Package
Title: [input]

Supplement an Existing Record Package
Record Package # of Package being supplemented: [dropdown] View [Record Packages list](#) to determine correct Pkg. No. to select

Number of records in this transmittal: [input]

Do not discard your copy of the attached record(s) prior to receiving the email notification that your transmittal has been Accepted.

Record Title	Record Date	Record Originators	Document #(s)	Wells	Record	ERID # (RPF Use Only)
					Click here to attach a file	

Insert item

Save Save and Close Submit Close

Remarks: [input]

For more detailed instructions, refer to the Electronic Record Files 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 E-Trans.
- You can **supplement an existing records package** with records in later transmittals by referencing the records package number on the E-Trans.

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.
- Newly assigned records package numbers will be **communicated via a returned copy of the E-Trans** to the record transmitter after processing by the RPF.
- Records packages are not required, but are **optional**, on the E-Trans.

Records Submittal Process

Records Package Process (continued)

- Use this section of the E-Trans 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 work in the ADEP RMS and understanding of EP-DIR-AP-10003 Records Management Process for ADEP Employees processes.

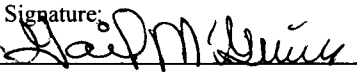
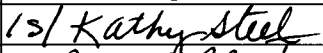
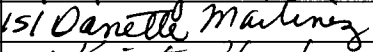
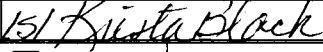
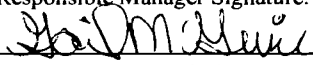
- Contact us for information or **training** on the ADEP RMS system / process, at: ep_records@lanl.gov.
- Contact us for Instructions on rendering electronic records to **PDF**, enabling **OCR**, the **Electronic Records Transmittal** process or other new processes at: ep_records@lanl.gov.

Briefing Conclusion

Congratulations

You have completed the ADEP Records
Management Briefing

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

Document Action Request			
Section 1 – Originator Request			
Document No.: EP-DIR-AP-10003			Revision No.: 4
Title: Records Management Procedure for ADEP Employees			Page <u>1</u> of <u>2</u>
Description of requested action (Attach numbered additional sheets if needed.): Add verbiage to include the new Transmittal Level records process and other modifications. Remove Attachment 2 Record Retrieval Request Log.			
Originator Name (print): Yvonne C. Archuleta	Z#: 103265	Organization: IRM-RMS	Date: 12/17/2012
Section 2 – Approval for Processing - Responsible Manager			
<input type="checkbox"/> New Document	<input type="checkbox"/> Minor Revision	<input type="checkbox"/> Deactivation	<input type="checkbox"/> Perform Concurrent Periodic Review?
	<input checked="" type="checkbox"/> Major Revision	<input type="checkbox"/> Cancellation	
Superseded Document(s) and Revision Number: N/A			
<input checked="" type="checkbox"/> Approved	<input type="checkbox"/> Disapproved (return to originator)	Comments:	PCRs 7 & 88
Signature: 	Print Name, Title: Gail McGuire, ADEP IRM Project Mgr.	Z#: 234778	Date: 1/7/13
Section 3 – Hazard Determination – Responsible Manager			
Hazard Determination:	<input type="checkbox"/> Low	<input type="checkbox"/> Moderate	<input type="checkbox"/> High/Complex <input checked="" type="checkbox"/> N/A
Document is authorized to serve as IWD?	<input type="checkbox"/> Part I only	<input type="checkbox"/> Full IWD	<input checked="" type="checkbox"/> N/A
Section 4 – Required Reviews (see P315, Ch 16, Section 16.5.3)			
Discipline:	Name:	Signature:	Date:
IRM-RMS	Kathy Steel		2/4/13
IRM-RMS	Danette Martinez		1-22-13
IRM-DCS	Krista Black		1-21-13
Validation Required (SME): <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Waive Comment:			
Scope of Validation: <input type="checkbox"/> Entire Procedure <input type="checkbox"/> Change Only			
Validation Method: <input type="checkbox"/> Walkdown <input type="checkbox"/> Simulation <input type="checkbox"/> Tabletop <input type="checkbox"/> First Time Use			
Training Determination completed?: <input type="checkbox"/> Yes <input type="checkbox"/> N/A		Completed by: Gail McGuire	
USQ/USI Number (if needed): N/A	Signature: /s/ Lance Platter	Z#: 236299	Date: 10/5/12
Derivative Classifier: <input type="checkbox"/> Unclassified <input type="checkbox"/> OOU <input type="checkbox"/> UCNI <input type="checkbox"/> Classified	Signature:	Z#:	Date:
<input type="checkbox"/> DUSA DUSA # N/A	Signature N/A	Z# N/A	Date N/A
Section 5 – Final Approvals – Responsible Manager			
<input checked="" type="checkbox"/> Release <input type="checkbox"/> Hold	Details:		
Responsible Manager Signature: 	Print Name, Title: Gail McGuire	Z#: 234778	Date: 2/1/13
Additional Approval Signature: N/A	Print Name, Title: N/A	Z#: N/A	Date: N/A

DAR Continuation

Document No.: EP-DIR-AP-10003

Revision No.: 4

Title: Records Mangement Procedure for ADEP Employees

Page 2 of 2

Description of Requested Action (continued from Section 1)

Approval/Disapproval Comments (continued from Section 2)

Required Reviews (continued from Section 4)

Discipline:	Name:	Signature:	Date:
IRM-RMS	Presley Salaz	1/3/ Presley Salaz	1/23/13
IRM-DCS	Yvette Branch	1/5/ Yvette Branch	1/7/13
IRM-DCS	Lucille Cordova	1/5/ Lucille Cordova	1/22/13
IRM-DCS	Chantelle Knowlton	1/5/ Chantelle Knowlton	2/4/13
IRM-DCS	Kelly Vigil	1/5/ Kelly Vigil	1/7/13
QPA-IQ	Robert Trujillo	1/5/ Robert Trujillo	1/18/13

Validation Comments (continued from Section 4)

Release/Hold Details (continued from Section 5)