EP-DIR-AP-10005, R4

RECORDS PROCESSING

Effective Date: _____1/18/13_____

Procedure Owner:	Signature:	Date:
Gail McGuire	/s/Gail McGuire	1/17/13

Records Processing

Reference

Document No.: EP-DIR-AP-10005
Revision: 4
Effective Date: 1/18/13
Page: 2 of 15

REVISION HISTORY

Document No./Revision No.	Issue Date	Action	Description
EP-DIR-AP-10005, R0	4/4/11	Major revisions	New document number assigned; Supersedes EP-DIR-SOP-4003, R3
EP-DIR-AP-10005, R1	01/12/12	Major revisions	Added modifications that include QC process and dual storage process
EP-DIR-AP-10005, R2	6/21/12	Minor revision	Added additional row to Attachment 1 Table for "Remarks." The Records Transmittal Form (RTF) has been removed and is replaced by a Standard Records Transmittal (E-Trans) for hardcopy and electronic submittals.
EP-DIR-AP-10005,R3	8/21/12	Major revision	Added Sec. 6.4 Bulk-load records for processing large quantity of similar records. Various editorial changes.
EP-DIR-AP-10005, R4	1/18/13	Major revision	Added verbiage throughout to include the new Transmittal Level records process. Remove Attachment 2 Record Retrieval Request Log.

Records Processing

Reference

Document No.: EP-DIR-AP-10005
Revision: 4
Effective Date: 1/18/13
Page: 3 of 15

TABLE OF CONTENTS

1. PURPOSE AND SCOPE

This procedure describes the process by which the Environmental Programs Directorate (ADEP) Records Processing Facility (RPF) receives, reviews, processes, protects, and retrieves ADEP records in accordance with PD1020, *Document Control and Records Management*, P1020-1, *Laboratory Records Management*, EP-DIR-QAP-0001, *Quality Assurance Plan for the Environmental Programs Directorate*, EP-DIR-PLAN-10002, *ADEP Directorate Records Management Plan* and EP-DIR-AP-10003, *Records Management Procedure for ADEP Employees*.

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

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-10003, *Records Management Procedure for ADEP Employees*
Records Indexing Guideline for the SharePoint Records Management System (RMS)
SharePoint Records Processor Instructional Guide

3. DEFINITIONS AND ABBREVIATIONS

3.1 <u>Acronyms</u>

ADEP	Associate Directorate for Environmental Programs
CD	Compact Disk
CWDR	Chemical Waste Disposal Record
CUI	Controlled Unclassified Information
DVD	Digital Video Disc
E-Trans	Electronic Records Transmittal
EP	Environmental Programs
EPRMS	Environmental Programs Records Management System
ERID	Environmental Records Identification (number)
IRM-RMS	Information Resource Management – Records Management Services
PDF	Portable Document Format
QC	Quality Control
RMS	Records Management System
RPF	Records Processing Facility
RM&DC	Records Management and Document Control
TWSR	Transuranic Waste Storage Record
UCNI	Unclassified Controlled Nuclear Information
WM	Waste Management

Records Processing

Reference

Document No.: EP-DIR-AP-10005
Revision: 4
Effective Date: 1/18/13
Page: 5 of 15

4. BACKGROUND AND PRECAUTIONS

4.1 Background

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

Records shall furnish documentary evidence that items or activities meet specified quality requirements. Records shall be traceable to associated items and activities and accurately reflect the work accomplished or information required.

4.2 Precautions

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

The RPF will allow only authorized personnel to retrieve records from the RPF. This may include OUO and/or Unclassified Controlled Nuclear Information (UCNI) records. In this case, an e-mail must be sent to the RPF by the RLM asserting the requestor's need-to-know. If e-mail access is unavailable, complete the OUO/UCNI Checkout Form located in EP-DIR-AP-10003, *Records Management Procedure for ADEP Employees.*

5. EQUIPMENT AND TOOLS

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

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

- RPF users must sign in to authenticate into ADEP RMS.

Records Processing

Reference

Document No.: EP-DIR-AP-10005
Revision: 4
Effective Date: 1/18/13
Page: 6 of 15

6. STEP-BY-STEP PROCESS DESCRIPTION

6.1 Receiving Records

RPF Personnel

[1] **Generate ERID Numbers**

- Print Labels of ERID numbers and log the ERID numbers printed in the controlled spreadsheet.

NOTE: E-Trans submittal forms for hardcopy records will be generated prior to the actual submittal to the RPF. These E-Trans transmittals are identified separately in the E-Trans submittal library. All of these transmittals will be held and not reviewed until the hardcopy records are submitted into the RPF. A copy of the E-Trans form will accompany the hardcopy records when submitted.

NOTE: Hardcopy record submittals may be processed at transmittal level verses record level processing. This process is pre-determined per transmitter organization.

[2] **Receipt of Hard Copy Records Transmittals**

- Check the RPF inbox for receipt of E-Trans submittals that include hardcopy records.

- Locate the corresponding E-Trans and verify the transmittal and records meet record acceptability criteria. (A Record Submittal Checklist may be found on ADEP Records Management Homepage.)

- Review record for copyright content. A Special Instruction Sheet (SIS) placeholder page must be created and inserted in place of copyright information if submitted without copyright clearance. However, if the record falls within the criteria approved for exemption provided by Lab legal, copyright material may be included with the record image. For more detailed information refer to the Records Processor Instructional Guide.

- If the records are not acceptable notify the transmitter and,

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

  - If the correction cannot be made in the RPF, reject and return the transmittal (E-Trans), hardcopy records to the Records Custodian and include the line item and the reason for rejection in the block on the E-Trans form labeled "Explanation of Rejection."

NOTE: If one record on the E-Trans is returned for correction, the entire transmittal records will be rejected and all the records will be returned to the transmitter.

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

- When acceptable, assign an ERID number to each record or group of records listed on the transmittal and to any SIS forms, if applicable. Affix the ERID number label in the upper right corner of the first page of the record. When all records are assigned an ERID # then click the "Receive" button and wait for the workflow to complete. Reopen the E-Trans form and click on the "Accept" button on the electronically submitted E-Trans form.

6.   Step-By-Step Process Description (continued)

- Place a red sticker on any E-Trans form submitting Controlled Unclassified Information (CUI) records (e.g., OUO, UCNI or PII).

- For transmittal level processing, update title field to reflect record information, and include the record date or span of dates at the end of the title information. If there are multiple line items listed on the E-Trans form, include a semi-colon after the date information, as this will help define each title when listed in the RMS. Include all originators listed on the record.

- After accepting the E-Trans, print out one hardcopy of the revised form and place with the records. If the E-Trans is determined to be processed at transmittal level, then print out two copies of the E-Trans form.

  NOTE: An auto-generated email is sent to the transmitter notifying them of the acceptance of the transmittal.

- Place in the "Ready for Scan" location and make a note and attach to container if the transmittal should be processed at transmittal level.

[3] **Receipt of Electronic Records Transmittals**

- Check for the receipt of any electronic record transmittals in the E-Trans Library of the EPRMS Transmittal Site of the RMS.

  NOTE: For ADEP SharePoint Sites where an electronic transfer protocol (e.g., Subcontractor record submittals) to the RMS has been defined with RM&DC, an E-Trans form is not required. These records will be received electronically in an RMS Submittal library where they can be reviewed and with minimal processing made available in the primary RMS Library. Detailed instructions for handling these submittals will be available in the SharePoint Records Processor Instructional Guide.

  NOTE: Exceptionally large files (over 25 mb or 25,000 kb) may be transferred through the LANL FTP Site. Transmittals are required for these submittals.

- Verify the transmittal and records meet record acceptability criteria. (A Record Submittal Checklist may be found on the ADEP Records Management Homepage.)

- Review record for copyright content. A Special Instruction Sheet (SIS) placeholder page must be created and inserted in place of copyright information if submitted without copyright clearance. However, if the record falls within the criteria approved for exemption provided by Lab legal, copyright material may be included with the record image. For more detailed information refer to the SharePoint Records Processor Instructional Guide.

- If any records need to be corrected, reject the transmittal to the transmitter for correction.

  NOTE: If one record on the E-Trans is returned for correction, the entire transmittal will be rejected.

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

Records Processing

Reference

Document No.: EP-DIR-AP-10005
Revision: 4
Effective Date: 1/18/13
Page: 8 of 15

6. Step-By-Step Process Description (continued)

> **NOTE**: An auto-generated email is sent to the transmitter notifying them of the acceptance of the transmittal.

- After accepting the E-Trans, print a hard copy and place the ERID number labels on the hard copy form.

- Place the hard copy transmittal form in the "Ready for Indexing" folders and proceed to Section 6.3.

6.2 Scanning Records

RPF Personnel

[1] Retrieve E-Trans and hard copy records that have been staged for scanning. These submittals should be kept separate in the acceptance process to denote how to process, record level verses transmittal level.

[2] If a new container is needed for storing the hardcopy records, obtain a container and create a new entry in the RMS Container Log noting the Container number assigned. Write the container number on the inside flap of the container lid.

[3] Set the E-Trans aside and prepare the records for scanning.

[4] Determine if the E-Trans and records are to be scanned at record level or transmittal level.

[5] Scan the E-Trans (for transmittal level only) and records and review the PDF images to verify they are acceptable. Re-scan records when the PDF images are not acceptable.

[6] Place the scanned hard copy records separated by colored separator sheets along with the E-Trans in the numbered container.

[7] For record level processing;

- save the acceptable PDF images using the ERID number as the filename to the "RPF – ReadyForOCR" shared drive folder.

- Save CUI records directly to the "RPF – ReadyForIndex" share drive folder.

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

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

[8] For transmittal level processing;

- Extract the transmittal form and save PDF with the transmittal number assigned.

- Extract each individual record and save PDF with the assigned ERID number.

- Complete the OCR process on all records.

Records Processing

Reference

Document No.: EP-DIR-AP-10005
Revision: 4
Effective Date: 1/18/13
Page: 9 of 15

- Assemble the transmittal and records into the portfolio (one portfolio per transmittal).

- After portfolio is completed, save the portfolio using the transmittal number as a file name. (e.g. TRANS-9456)

- Move completed portfolio into the 'RPF-ReadyforIndex' folder.

[9] When a container is full of scanned hard copy records, place the container in the "Ready for Indexing" staging area. For transmittal level indexing, label container 'Ready for Index – Transmittal Level Processing'.

6.3 Image QC, Indexing and Transferring Records

RPF Personnel

[1] For hardcopy submitted records retrieve a container from the RPF indexing staging area or, for electronically submitted records retrieve a printed E-Trans from the EP and WM folders.

[2] For the hardcopy submitted records, pull out an E-Trans and the corresponding records. For each record retrieve the corresponding PDF file from the "RPF - ReadyForIndex" folder using the ERID / TRANS number on the record/portfolio. Compare the hard copy record to the images and have any unacceptable images re-scanned in accordance with Section 6.2.

[3] Using the ERID or TRANS Number locate and open the record to be indexed in the 'RPF-ReadyforIndex' folder. Go to the RMS Record Indexing List (multiple selections are available on this list, pertaining to the type of record to be indexed) and create a new item (User Guides are available for navigating in RMS). When prompted, index the record by completing the record properties in accordance with the Record Indexing Guideline for the SharePoint Records Management System (RMS), and the Sample Library for frequently indexed Record Types. At a minimum, the following information will be entered into the RMS for each record:

- ERID Number or TRANS Number;
- Transmittal Number;
- Unique Container ID (Container ID number for hardcopy records; for electronic submitted records a placeholder number to be replaced by an electronic media identifier);
- Title (derived from E-Trans for transmittal level processing);
- Document Date (derived from E-Trans for transmittal level processing);
- Document Type Description (e.g., Report, Correspondence, Plan, etc.) (derived from E-Trans for transmittal level processing,

   NOTE: Records indexing information is captured initially in a list and later loaded along with the record into the primary Records System.

Records Processing

Reference

Document No.: EP-DIR-AP-10005
Revision: 4
Effective Date: 1/18/13
Page: 10 of 15

6. Step-By-Step Process Description (continued)

[4] When indexing is complete:

- Every day the workflow process initiates and uploads the records indexed for that day. (This covers all of the selections chosen/indexed.) The workflow process will move all records from the "RPF-ReadyforIndex" folder to the "Completed SharePoint" folder and will initiate an auto-generated e-mail to the transmitter that all records on the E-Trans have been processed.

- Return the indexed hard copy records along with colored separator sheets to the appropriate container. For transmittal-level processing, place a copy of the E-Trans form in front of the hardcopy records in the container.

- File a copy of the E-Trans form in folders marked by month and year and separated by WM or EP related record information.

NOTE: Refer to SharePoint Records Processor Instructional Guide for guidance.

[5] When indexing of a box is complete, create a box index from the RMS. Verify contents of box against the box index sheet, resolve any discrepancies and place the index in the box.

[6] Transfer boxes to IRM-RMS for storage in accordance with EP-DIR-AP-10003, *Records Management Procedure for ADEP Employees.*

[7] Create a Record Storage TR Log entry when boxes are shipped to IRM-RMS and complete the entry when the transfer form is returned.

6.4 Records Bulk-load Process
RPF Personnel
[1] Bulk-load is a processing method used to process a large quantity of similar record types (e.g., Transuranic Waste Storage Record (TWSR's), Chemical Waste Disposal Record (CWDR's) and General Records Indexing. Refer to SharePoint Records Processing Guide for processing details.

6.5 Index QC
RPF Personnel

[1] Periodically perform a semi-annual statistical sampling records QC index check. A report is run, to identify records that have been indexed into the RMS but have not yet been reviewed to verify the quality of the indexing. This report will be separated into multiple reports to accommodate the QC process being performed by multiple reviewers.

[2] Compare each record to the indexed properties. Fix any indexing errors in the spreadsheet.

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

Records Processing

Reference

Document No.: EP-DIR-AP-10005
Revision: 4
Effective Date: 1/18/13
Page: 11 of 15

[4] Provide a detailed explanation of the error.

[5] Include the QC Reviewer's name and date record was QC'd

[6] Refer to QC Desktop Instruction for more guidance on the QC activity.

6.6 Protecting Records
RPF Personnel

[1] Ensure all non-RPF personnel sign in using the RPF Sign-In Log (See Attachment 3) and are escorted within the RPF. The RPF is a controlled access area.

[2] Store 'in process' hardcopy records when not in use in a controlled storage area, with locked cabinets and doors, to ensure records are protected from damage, loss, vandalism, or destruction. Refer to the PD1020, *Document Control and Records Management* and P1020-1, *Laboratory Records Management.*

6.7 Electronic Dual Storage Process
RPF Personnel

[1] On a monthly basis, stage records submitted electronically for copying to electronic media (e.g., DVD) to satisfy dual storage requirements.

[2] Obtain a unique identifier for the electronic media from the Container Log and label the media with the unique container identifier and other required label information.

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

[4] Log the creation date of the media in the Container Log and on the electronic media.

[5] Store the media geographically removed from the on-line RMS to meet dual storage requirements.

[6] Refresh the media every five years to meet industry standards.

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

Records Processing

Reference

Document No.: EP-DIR-AP-10005
Revision: 4
Effective Date: 1/18/13
Page: 12 of 15

6.8 Retrieving Records
RPF Personnel

[1] Receive the record retrieval request via phone, email, or in-person. Work with the requestor to acquire additional information that may help the RPF locate the record including originator, document date, title, etc. Include the time spent searching for the records prior to generating the request.

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

[2] If the requested record is CUI, ask the requestor's RLM to send an email to the RPF at ep_records@lanl.gov asserting the requestor's need-to-know. If email access is unavailable, complete the OUO/UCNI Checkout Form located in EP-DIR-AP-10003, *Records Management Procedure for ADEP Employees.*

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

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

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

7. RECORDS PROCESSING
RPF Personnel

[1] Ensure that documents generated by the performance of this procedure are processed as follows:

Record Identification	Record Type Determination	Protection/Storage Methods	Processing Instructions
RPF Sign-in Log Special Instruction Sheet (SIS)	Form	Submit records in accordance with EP-DIR-AP-10003, Records Management Procedure for ADEP Employees.	When the records are ready for final disposition,

8. ATTACHMENTS

Attachment 1   Special Instruction Sheet (SIS)

Attachment 2   RPF Sign In Log

Records Processing

Reference

Document No.: EP-DIR-AP-10005
Revision: 4
Effective Date: 1/18/13
Page: 13 of 15

Using a CRYPTO Card, click here for "Required Read" credit.

If you do not possess a CRYPTOCard or encounter problems, contact the EP Central Training Office.

Records Processing

Reference

Document No.: EP-DIR-AP-10005
Revision: 4
Effective Date: 1/18/13
Page: 14 of 15

ATTACHMENT 1
Page 1 of 1
Special Instruction Sheet (SIS)

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

1. Document Date	2. ERID Number
3. Title	4. No Restrictions ☐ OUO ☐ UCNI ☐ COPYRIGHT ☐
5. Media Type & Quantity	6. Software and Version required to read media
7. Other Document Numbers	
8. Remarks	

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

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

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

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

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

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

7. Other Document Numbers — Enter any relevant Document Numbers identified on the record.

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

Records Processing

Reference

Document No.: EP-DIR-AP-10005
Revision: 4
Effective Date: 1/18/13
Page: 15 of 15

ATTACHMENT 2
Page 1 of 1
RPF Sign-In Log

				ATTACHMENT 2						
				RPF Sign In Log						
Date	Name	Z#	Group	Doc Control or Records Staff	New Record	Query/ Retrieval	Other	Time In	Time Out	Staff Initials

EXAMPLE