

# EP-DIR-AP-10005, R.1

## RECORDS PROCESSING

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Procedure Owner: Gail McGuire	Signature: /s/Gail McGuire	Date: 01/11/12
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**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

**TABLE OF CONTENTS**

<u>Section</u>	<u>Page</u>
1. PURPOSE AND SCOPE .....	4
2. REFERENCES .....	4
3. DEFINITIONS AND ABBREVIATIONS .....	4
3.1 Abbreviations .....	4
4. BACKGROUND AND PRECAUTIONS.....	5
5. EQUIPMENT AND TOOLS .....	5
6. STEP-BY-STEP PROCESS DESCRIPTION .....	6
6.1 Receiving Records .....	6
6.2 RPF Record Scanning.....	7
6.3 Image QC, Index, and Transfer of Records .....	8
6.4 Process Subcontract Scanning Records .....	9
6.5 Index QC.....	10
6.6 Protecting Records.....	10
6.7 Electronic Dual Storage Process.....	11
6.8 Retrieving Records .....	11
7. RECORDS PROCESSING .....	13
8. PROCESS FLOWCHART.....	13
9. ATTACHMENTS .....	13

## 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.

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

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

## 3. DEFINITIONS AND ABBREVIATIONS

### 3.1 Abbreviations

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

## 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 BPS RM&DC 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.

## 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.

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

- Check the RPF inbox for new record transmittals. Stamp the Records Transmittal Form (RTF) with the current date.
- Verify the transmittal and records meet record acceptability criteria. A Review Checklist may be found on EP's RM&DC website as guidance.
- Review record for copyright content. A Special Instruction Sheet (SIS) placeholder page must be inserted in place of copyright information if submitted without copyright clearance. 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 then return the transmittal to the Records Custodian and update the Transmittal Log accordingly.
- 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 in the transmittal and to any SIS forms, if applicable. Affix the ERID number label in the upper right corner of the first page of the record.
- Log the applicable information into the Transmittal Log making note of the Transmittal Number assigned. Update the Record Package List if a new record package is identified on the RTF.
- Place a red sticker on any RTF submitting Controlled Unclassified Information (CUI) records (e.g., OOU, UCNI or PII).
- Enter the transmittal number, record package number (if applicable) and ERID numbers on the RTF. When manual entry is complete an electronic e-mail response that includes all RTF information noting the receipt and acceptance of the RTF back to the Transmitter.
- Place Non-CUI transmittals to be sent for subcontract scanning in the "Process for Subcontract Scanning" area and proceed to Section 4.4 for further processing, otherwise place the transmittals in the "Ready for Scanning" area separated by Environmental Programs (EP) & Waste Management (WM) and continue to Section 4.2.

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

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

- Check for the receipt of any electronic record transmittals in the E-Trans Library of the EPRM 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 or RTF 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 RPF's Records Processing Guide.

**NOTE:** Exceptionally large files (over 25 mg 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.
- Review Record for copyright content. A Special Instruction Sheet (SIS) placeholder page must be inserted in place of copyright information if submitted without copyright clearance. For more detailed information refer to the 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 "ReadyForIndexing" folder using the ERID number as the file name.

**NOTE:** An email is automatically sent to the transmitter notifying them of the acceptance of the transmittal.

- After accepting an E-Trans, print a hard copy RTF and place the ERID# labels on the hard copy form.
- Place the hard copy transmittal form in the EP or WM folders and proceed to Section 4.3.

**6.2 RPF Record Scanning**

**RPF Personnel**

- [1] Retrieve the hard copy records that have been staged for scanning.
- [2] If a new box is needed for storing the hardcopy records, obtain a box 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 box lid.
- [3] Set the RTF aside and prepare the records for scanning.

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

- [4] Scan the records for review PDF images to verify they are acceptable. Re-scan records when the PDF images are not acceptable.
- [5] Place the scanned hard copy records along with the RTF in the numbered box.
- [6] 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.
- [7] Run the OCR process on the records in the “RPF – ReadyForOCR” folder.
- [8] Move the records that have completed the OCR process to the “RPF – ReadyForIndex” folder.
- [9] When a box is full of scanned hard copy records, place the box in the “Ready for Indexing” staging area.

**6.3 Image QC, Index, and Transfer of Records****RPF Personnel**

- [1] Retrieve a box from the “Ready for Indexing” staging area or, for electronically submitted records, retrieve a printed RTF from the EP and WM folders.
- [2] For the boxed hard copy records, pull out an RTF and the corresponding records. For each record retrieve the corresponding PDF file from the “ReadyForIndexing” folder using the ERID number on the record. Compare the hard copy record to the images and have any unacceptable images re-scanned in accordance with Section 4.2.
- [3] Once the images are acceptable, go to the RMS and open the appropriate electronic folder. Upload the record by browsing to the “ReadyForIndexing” folder and locating the record using the ERID Number on the hard copy record. For records submitted electronically, locate the PDF using the ERID Number on the printed RTF. When prompted, index the record by completing the record properties in accordance with the Record Indexing Guideline for the SharePoint Records Management System (RMS), EP-DIV-GUIDE-10001 and the Sample Library for frequent indexed Record Types. For each record the following information at a minimum will be entered into the RMS:
  - ERID Number;
  - Transmittal Number;
  - Unique Container ID (Box number for hardcopy records; for electronic submitted records a placeholder number to be replaced by an electronic media identifier);
  - Title;
  - Document Date;
  - Document Type Description (e.g., Report, Correspondence, Plan, etc.);

**NOTE:** If an image error was identified during step 2, set the Image QC Error to “Yes”.



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

- [4] When indexing the records for the transmittal is complete, perform the workflow process to initiate the notification to transmitter that all records on RTF have been completed.

**NOTE:** Refer to Desktop Instruction for guidance.

- [5] When indexing the records for a transmittal is complete, return the indexed hard copy records along with colored separator sheet to the appropriate box and file the RTF in the monthly folders by the transmittal receipt date.
- [6] 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.
- [7] Transfer boxes to IRM-RMMSO for storage in accordance with EP-DIR-AP-10003, *Records Management Procedure for ADEP Employees*.
- [8] Create a Record Storage TR Log entry when boxes are shipped to IRM-RMMSO and complete the entry when the transfer form is returned.

**6.4 Process Subcontract Scanning Records**

**RPF Personnel**

- [1] Retrieve a subcontract scanning record transmittal from the “Process for Subcontract Scanning” area.
- [2] Obtain a box and get a container number from the RMS Container Log if a new box is needed for storing the hardcopy records. Write the container number on the inside flap of the box lid.
- [3] Index the records into the Bulk Load Index list in accordance with the Record Indexing Guideline and place the indexed records into the box separated by colored pages and paper clips
- [4] When the box is full, create a box index. Verify the contents of the box against the box index, resolve any discrepancies and place the index in the box. When the appropriate number of boxes is complete arrange for the transfer of boxes to the subcontractor for scanning. Update the Container Log with the transfer date.

**Subcontractor**

- [5] Acknowledge receipt of the boxes for scanning.
- [6] Scan the records and save the images to a CD using the ERID number as the filename for each record in accordance with subcontract requirements. Label completed CD’s with the container number.

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

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

**RPF Personnel**

- [8] Receive the boxes from the subcontractor and update the Container Log with the receipt date.
- [9] Compare the box contents to the box index to verify content and order was maintained in the scanning process.
- [10] Copy the record images from the CD to the RPF Bulk Load Shared Drive location.
- [11] Compare the record images to the hardcopy records. Resolve any discrepancies either by re-scanning in-house or returning to subcontractor.
- [12] When the images are acceptable, generate a bulk load spreadsheet from the indexed information and run the Bulk Load application to move the images and indexed information into the appropriate folder in the RMS.
- [13] Verify completeness of the bulk upload. Resolve any errors.
- [14] Upon verification of successful bulk upload delete the corresponding images on the shared drive and the items in the Bulk Load Index List.
- [15] Transfer boxes of processed hardcopy records to IRM-RMMSO for storage in accordance with EP-DIR-AP-10003, *Records Management Procedure for ADEP Employees*.

**6.5 Index QC**

**RPF Personnel**

- [1] Periodically run a report to identify records that have been indexed into the RMS but have not yet been reviewed to verify the quality of the indexing.
- [2] Compare each record to the indexed properties. Fix any indexing errors.
- [3] Update the Index QC Error status in the record properties for each record reviewed to either “Yes” or “No” depending on whether errors were identified during the QC process.
- [4] Choose the appropriate reason(s) for a “Yes” Selection.
- [5] Include the QC Reviewer’s name and date record was QC’d.

**NOTE:** Refer to QC Desktop Instruction for more guidance on the QC activity.

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

**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. Consult the Dual Storage Desktop Instruction available on the ADEP RMS website for detailed guidance.
- [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].
- [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.

**6.8 Retrieving Records**

**ADEP Personnel**

- [1] Request records via phone, email, in-person or using the [Record Retrieval Request Log](#) (see Attachment 2). Provide 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:** If submission is made via the Record Retrieval Request Log, only complete the fields with a red asterisk (\*) next to it.

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

**RPF Personnel**

- [2] Receive the record retrieval request. Locate the requested record(s) when possible. Work with the requestor to acquire additional search terms if necessary.

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

- [3] If a Record Retrieval Request Log entry was not created by the requestor, create a Record Retrieval Request Log entry. If a Record Retrieval Request Log entry was created by the requestor, complete the Retrieval Request Log entry.

- [4] 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*. Attach a copy of the email or form to the Record Request Log entry.

- [5] 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.

- [6] If necessary, retrieve hardcopy records transferred to IRM-RMMSO 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:

<b>Record Identification</b>	<b>Record Type Determination</b>	<b>Protection/Storage Methods</b>	<b>Processing Instructions</b>
RPF Sign-in Log Special Instruction Sheet (SIS) RPF Retrieval Request Log Form	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. PROCESS FLOWCHART

Available on the ADEP BPS RM&DC homepage at:  
[http://int.lanl.gov/orgs/bps/records\\_workflow.shtml](http://int.lanl.gov/orgs/bps/records_workflow.shtml)

9. ATTACHMENTS

- Attachment 1 Special Instruction Sheet (SIS)
- Attachment 2 Record Retrieval Request Log (Example of Database Screen Only)
- Attachment 3 RPF Sign In Log

**Records Processing**

*Reference*

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Document No.: EP-DIR-AP-10005

Revision: 1

Effective Date: 01/12/12

Page: 14 of 17

[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.

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

ATTACHMENT 1	
<b>Special Instruction Sheet</b>	
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 <a href="mailto:ep_records@lanl.gov">ep_records@lanl.gov</a> .	
1. Document Date	2. ERID Number
3. Title	4. No Restrictions <input type="checkbox"/> OUO <input type="checkbox"/> UCNI <input type="checkbox"/> COPYRIGHT <input type="checkbox"/>
5. Media Type & Quantity	6. Software and Version required to read media
7. Other Document Numbers	

EXAMPLE

**Special Instruction Sheet (SIS) Form Instruction**

- |    |                        |  |
|----|------------------------|--|
| 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.   |

**ATTACHMENT 2**

**Page 1 of 1**

**Record Retrieval Request Log**

ADEP Records Management System > Record Retrieval Request Log > New Item

### Record Retrieval Request Log: New Item

Attach File Spelling... \* indicates a required field

OK Cancel

Title *	<input type="text"/>
Requestor(s) *	<input type="text"/>
Requestor Org *	<input type="text"/>
Request Date *	9/13/2011 <input type="text"/>
Requestor would like RPF to provide search training? *	<input type="text"/>
Request Description / Instructions *	<div style="border: 1px solid gray; padding: 5px;"><p><b>EXAMPLE</b></p><p>Describe the request received or enter instructions for the request you have. Helpful information includes ERID number, Document Date, Originator, Addressee, and/or Title.</p></div>
Minutes spent searching for record before making request *	<input type="text"/> <small>Enter the number of minutes spent looking for the record before contacting the RPF for assistance.</small>
Responder (from RPF)	<input type="text"/> <small>Enter the primary person who responded to this request.</small>
Request answered satisfactorily	<input type="text"/>
Request resolution	<div style="border: 1px solid gray; padding: 5px;"><p>Describe how the request was resolved. Include information about how many people were involved in researching and responding to the request, how difficult it was to respond to the request, what techniques were used to respond to the request (search, view, etc).</p></div>
Search Capability Comments	<div style="border: 1px solid gray; padding: 5px;"><p></p></div>
Minutes to complete request	<input type="text"/> <small>Enter the minutes required to complete the request. This is time actually spent on the request. If multiple people were involved, include total time spent by all people.</small>
Completion Date	<input type="text"/>
Request via	<input type="text"/>

OK Cancel



