

**EP-DIR-SOP-4003, Revision 2**

# **Records Management**

Effective Date: 05/08/2008

Next Review Date: 05/08/2012

Procedure Owner	Signature	Date
Yvonne C. Archuleta	Signature on File	05/08/2008

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## HISTORY OF REVISIONS

Revision Number	Issue Date	Action	Description
0	3/29/07	Superseded QP-4.3, and FMU-6/SWO Records Management; reformatted and renumbered.	Minor technical changes.
1	6/11/07	Revision to EP-DIR-SOP-4003, Revision 0.	Added EP-DIR-QAP-0001 requirements.
2	05/08/08	Revision to EP-DIR-SOP-4003, Revision 1.	Revision to define the current WES-WA records management process and modified text as needed.

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## 1.0 PURPOSE AND SCOPE

This procedure states the responsibilities and describes the process by which the Environmental Programs (EP) Directorate Records Processing Facility (RPF) receives, identifies, reviews, processes, protects, and retrieves EP Directorate and EWMO records in accordance with Laboratory Records Management, ISD1020-1.0, Document Control and Records Management Policy, IPP1020.0, Nuclear Safety Requirements, Quality Assurance (NQA-1), 10 CFR 830.120, applicable Department of Energy (DOE) Orders, and EP-DIR-QAP-1001, *Quality Assurance Plan for the Environmental Programs Directorate*.

This procedure applies to all EP Directorate RPF personnel, who must implement records management processes, including receipt, maintenance, protection and retrieval of EP Directorate final records. RPF personnel are responsible for organizing and implementing a system of receipt control of records for permanent and temporary storage.

## 2.0 BACKGROUND AND PRECAUTIONS

### 2.1 Background

This procedure shall serve to preserve and protect the Laboratory's historical records and information and to reduce the legal risk to the Laboratory.

***This procedure does not address requirements for handling Classified Records. Certain Official Use Only (OUO) unclassified information may be exempt from public release and may have the potential to damage governmental, commercial, or private interests are restricted from disseminating to persons who must have a "need to know" of the information to perform their jobs or other DOE authorized activities.***

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

***Computer software used to prepare, store, maintain, index, and access records is maintained current so that the records will always be readable.***

***The EP Directorate classifies, handles, and retains most records as lifetime. Lifetime records are those that meet one or more of the following criteria:***

- a) those which would be of significant value in demonstrating capability for safe operation;***
- b) those which would be of significant value in maintaining, reworking, repairing, replacing, or modifying an item;***
- c) those which would be of significant value in determining the cause of an accident or malfunction of an item; and***
- d) those which provide required baseline data for in-service inspections.***

***Lifetime records are required to be maintained by or for the life of the particular item while it is in use.***

### 2.2 Precautions

No record(s) will be destroyed without prior approval from management, Information Resources Management Division, and the appropriate IRM documentation is completed in accordance with Laboratory practices.

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RPF Personnel are the only personnel authorized to handle or retrieve processed records located in the RPF.

The RPF allows authorized DOE and EP Directorate Staff Members to retrieve records at the RPF, including OUO and/or Unclassified Controlled Nuclear Information (UCNI) records, on a "need to know" basis. All other requestors must submit a formal request to IRM-RMMSO.

## 3.0 EQUIPMENT AND TOOLS

- High Speed Scanners are needed to scan EP Directorate records into .PDF files.
- Crypto Card.

The DOMINO.doc Document Management System application is accessed by RPF personnel through the EP Directorate Homepage under "Records Management." RPF personnel enter records into the EP Directorate "Library" in the EP Directorate "Room". The "Room" consists of "Cabinets" called "Records, Records2, Waste Management and Waste Acceptance." A Crypto Card must be used to authenticate into DOMINO.

## 4.0 STEP-BY-STEP PROCESS DESCRIPTION

### 4.1 Process Record(s)

- |                   |  |
|-------------------|--|
| Records Processor | <ol style="list-style-type: none"><li>1. When the Records Transmitter transmits a record to the RPF for processing in accordance with EP-DIR-SOP-4004, <i>Record Transmittal and Retrieval Processes</i>, determine the record type submitted (e.g., an individual record, a records package, an e-mail, or an OUO\UCNI record).</li><li>2. If a record is an Individual Record or a Records Package, verify (i.e., authenticate) it for acceptability (e.g. QA review, all attachments included, legibility, completeness, signatures, accurate page count, EP Directorate Document Signature Form, and electronic copy, if applicable).<br/><br/>[NOTE: If a record is not legible and cannot be reproduced, the "Best Available" stamp must be applied to the affected pages that are not legible.]</li><li>3. If a record is submitted as a logbook, make sure that a QA review has been performed on the Logbook, and an extra copy has been provided.</li><li>4. If a record is submitted as an e-mail, verify e-mails that have been submitted to the formal RPF e-mail address (<a href="mailto:ep-records@lanl.gov">ep-records@lanl.gov</a>).</li><li>5. Print out the e-mail and follow Section 4.2 below.</li><li>6. If record is a photo or drawing that has not been scanned yet, attach a Target Page (see Attachment 1) that represents media that has not yet been scanned.</li><li>7. Review Record Transmittal Forms (EP-DIR-SOP-4004, <i>Record Transmittal and Retrieval Processes</i>) to ensure all required fields have been filled in.</li></ol> |
|-------------------|--|

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Records Processor  
(Continued)

8. Compare the records received with the contents located on the Record Transmittal Form.
9. If the record(s) is NOT acceptable and does not comply with procedural requirements, document the status and return the record(s) to the Record Transmitter along with a Record Return Form (see Attachment 2).
10. Return the record to the Record Transmitter for re-transmittal in accordance with EP-DIR-SOP-4004, *Record Transmittal and Retrieval Processes*.
11. If the record(s) is acceptable, date-stamp the record with date received and initial. Verify the Record Transmittal Form if customer requests receipt acknowledgement. If yes, submit a copy to the transmitter, for their record file.
12. Transfer the record(s) into a controlled RPF central file pending data entry into the EP Directorate DOMINO Document Information System.

## 4.2 Indexing Records

Records Processor

1. Assign an ER ID Number, and, if applicable, a Records Package Number from the DOMINO System or other unique identifier, when performing data entry.
2. ***Enter the following information (as a minimum) into the EP Directorate DOMINO System:***
  - ***Subject;***
  - ***Document Date;***
  - ***Record type (e.g., Report, Letter, Memo, Plan, etc.); and***
  - ***Record location within the record system (e.g., ER ID Number).***
3. Print out an EP Directorate Record Index Form (Cover page) from the DOMINO System (see Attachment 3), and attach it to each record.
4. Transfer record(s) to a pending Scanning File to be scanned to .PDF files.
5. File sequentially by the ER ID Number, which is located on the top line of the EP Directorate Records Index Form.

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## 4.3 Processing OUO\UCNI Records

- Records Processor
1. If an OUO Record (see Attachment 4, FOIA Table) or an UCNI record is identified, verify the OUO\UCNI stamp, and implement all "controlled" measures in accordance with LANL security requirements.

## 4.4 Scanning Process

- Records Processor
1. Stage the files in sequential ER ID Number order for scanning.  
[NOTE: Data packages processed by the Sample Management Team and Waste Acceptance records generated by WES-WA do not require an ER ID Number.]
  2. Prepare the document before the scanning process, which includes checking if records are in the proper order, indexed properly, the removal of staples, clips, rubber bands, and other fasteners, unfolding pages, repairing rips and tears.  
[NOTE: Scotch tape and post-it notes may be left on the document provided that all corners are securely fastened and original document is not affected. Prepping also includes verifying that targets have been inserted for proper records such as maps, drawings, cd's, and to ensure these media types are identified and flagged for appropriate scanning size needs.]
  3. Inspect scanned electronic .PDF file for quality.
  4. Re-scan the record if the .PDF file demonstrates poor quality.
  5. When the scanned record is acceptable, upload the electronic file into the EP Directorate DOMINO System.  
[NOTE: OUO\UCNI records are scanned and controlled in accordance with LANL security requirements.]

## 4.5 Records Protection

- RPF Personnel
1. Ensure all EP Directorate personnel sign in and are escorted within the RPF.  
[NOTE: All RPF Personnel are located in a Controlled Access area.]
  2. Store temporary 'in process' final records in a controlled storage area, with locked cabinets and doors, to ensure records are protected from damage, loss, vandalism, or destruction. Refer to the LANL IPP 1020.0, pg. 4 Document Control and Records Management Policy and Implementation Policy and Implementation Procedure.
  3. Ensure processed records are sent to dual storage in the off-site LANL Records Storage Facility, which meets standard security requirements for the storage and protection of

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RPF EP Directorate Records.

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[NOTE: Dual Storage minimizes the risk of losing records through damage or destruction caused by exposure to extreme environmental conditions (e.g., excessive light, humidity, or temperature) and/or flooding, spillage of liquids, fire, mechanical failure, or pests.)]

4. Fill out the appropriate paperwork for records that will be transferred to the LANL Information Resources Management (IRM) Records Dual Storage Facility.

**[NOTE: In addition, the records must be processed in accordance with the requirements contained in ISD 1020-1.0, Laboratory Records Management.]**

5. Maintain a working .PDF copy on the EP Directorate DOMINO System. All files in Domino are "Read Only" files.

[NOTE: Electronic .PDF files and record meta-data in DOMINO is backed up daily by the Information Technology Services (IST) Division.]

## 4.6 Retention and Disposition of Records

- RPF Personnel
1. Retain and dispose of records in accordance with approved retention schedules (DOE Records Schedule for Environmental Records), and the institutional procedure for records management.

## 4.7 Records Retrieval

- RPF Personnel
1. Retrieve, in a timely manner, all record retrieval requests via e-mail, telephone, in person, that are not located in the EP Directorate Self-Serve DOMINO Search Engine.  
[NOTE: RPF personnel will ensure that walk-in customers complete a RPF Record Retrieval Request Form, if needed (see EP-DIR-SOP-4004).]
  2. Retrieve requested records from the scanned or paper copy from the Records Processing Facility using the ER ID Number.  
[NOTE: Electronic files stored in the Records Processing Facility are not the "controlled" version used for revision purposes. The requester shall follow EP-DIR-SOP-4001, *Document Control*, when requiring electronic files for revision purposes.]
  3. If an OUO/UCNI record is observed when searching Domino, RPF personnel will ensure the OUO/UCNI Checkout Form (see Attachment 5) is complete. This will verify access to records is limited to workers authorized on a need-to-know basis.  
[NOTE: OUO\UCNI PDF files are not available on DOMINO; a Target for OUO\UCNI Record(s) (see Attachment 6) is viewed in place of the PDF image.]

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RPF  
Personnel  
(Continued)

4. Scan any hardcopy records and provide the requester with a scanned copy.  
[NOTE: Records do not leave the control of the RPF.]
5. If the requested record is not an OUO/UCNI record, scan the record and provide the requestor with a scanned copy.
6. RPF Processor must ensure proper stampings reside on the OUO/UCNI record(s).
7. Retrieve records stored off-site according to LANL IPP 1020.0, *Document Control and Records Management*, and ISD 1020-1, *Laboratory Records Management*.

## 4.8 Records

- RPF Personnel
1. Submit the following records generated from this procedure to the Records Processing Facility:
    - EP Record Index Form

## 5.0 PROCESS FLOW CHART

To be provided at a later date.

## 6.0 ATTACHMENTS

Attachment 1: 4003-1 Target Page Representing Media Not Scanned (1 page)

Attachment 2: 4003-2 RPF Record Return Form (1 page)

Attachment 3: 4003-3 Example Record Index Form (1 page)

Attachment 4: 4003-4 Freedom of Information Act Exemptions Table (2 pages)

Attachment 5: 4003-5 OUO/UCNI Checkout Form (1 page)

Attachment 6: 4003-6 Target for OUO/UCNI Record(s) (1 page)

[Using a CRYPTOCARD, click here to record "self-study" training to this procedure.](#)

If you do not possess a CRYPTOCARD or encounter problems, contact the EP Directorate Training Specialist.

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## ATTACHMENT 1: TARGET PAGE REPRESENTING MEDIA NOT SCANNED

Target Page Representing Media Not Scanned

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### Media Target Page

The original media for this document can be obtained through the Records Processing Facility or requested through [ep\\_records@lanl.gov](mailto:ep_records@lanl.gov).

ERID # \_\_\_\_\_

**OUO**  Yes  No

**UCNI**  Yes  No

Media Type: \_\_\_\_\_

Date: \_\_\_\_\_

Other Document #(s): \_\_\_\_\_

Subject: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Filed in RPF

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## ATTACHMENT 2: RPF RECORD RETURN FORM

Records Use only

### RPF Record Return Form



#### Part I (RPF personnel complete)

The RPF has determined the attached record (or records package) is incomplete for processing.

Record transmitter's name		Date of Record	
Organization		Mail Stop	
Date returned to record transmitter		Return to RPF by	
		Other Doc. #	
<input type="checkbox"/>	1. Incomplete—document signature form (if required), pages, attachments, or enclosures are missing.		
<input type="checkbox"/>	2. Not properly authorized (required signatures or initials are missing).		
<input type="checkbox"/>	3. Incomplete records listing for records package. Information is not properly identified.		
<input type="checkbox"/>	4. Document quality is poor; does not provide adequate image. If this is the "best available copy," please return the document to the RPF.		
	Initial	Date	
<input type="checkbox"/>	5. Other		

#### Part II (Records transmitter completes.)

Please take appropriate corrective action and return the records and this form within 14 working days to the Records Processing Facility (RPF), MS-M707.

Comments: (optional)			
Returned:		Date:	
RPF Signature			

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## ATTACHMENT 3: EXAMPLE EP RECORD INDEX FORM

### Example EP Record Index Form

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Document\_ Discussion\_



[Return To Library](#) > [Records](#) > [ERID-91000 through ERID-91999](#) > [ERID-091688 SYNOPSIS OF SCOPE OF SERVICES FOR SOLICITATION OF QUALIFICATIONS FOR INVESTIGATION AND REMOVAL OF WASTE FOR MDA B AT TECHNICAL AREA 21, SWMU 21-015 WDOCUMENT SIGNATURE FORM FOR ER2004-0641 ATTACHED](#)

Document Number: 03242006-06GO-UCML  
Created By: Yvonne C. Archuleta/ENV/ADTS/LANL  
Date Created: 03/24/2006 02:46:58 PM  
File name: ERID-091688.pdf  
Version: 4.0  
Document Type: RPF Record  
Document State: Released  
Description: RECORDS PACKAGE SUBMITTED BY RON RAGER, ENV-ECR, PROJECT: TA-21 MDA B VCA

#### Document Details:

**Title:** ERID-091688 SYNOPSIS OF SCOPE OF SERVICES FOR SOLICITATION OF QUALIFICATIONS FOR INVESTIGATION AND REMOVAL OF WASTE FOR MDA B AT TECHNICAL AREA 21, SWMU 21-015 WDOCUMENT SIGNATURE FORM FOR ER2004-0641 ATTACHED

**ERID Number.StartPage:** ERID-091688

**Office of Record:** ENV-DO

**Date Received:** 01/20/2005

**Official Use Only:** N

**Page Count:** 8

**Record Type:** Statement of Work (SOW)

**Document Date:** 11/08/2004

**To:(Addressees - Organization)** N/A  
*(separate multiple values with semicolons)*

**From:(Senders - Organization)** RON RAGER, ENV-ECR  
*(separate multiple values with semicolons)*

**Other Document Number(s):** ER2004-0641  
*(separate multiple values with semicolons)* PKG-1648

**TA:** 21  
*separate multiple values with semicolons)*

**PRS Number(s):** N/A  
*(separate multiple values with semicolons)*

**Record Box Number:** 1655

\* Denotes Fields that are mandatory.

To download this file, right mouse click on the file and select 'Save to Disk' or 'Save Target as'

[ERID-091688.pdf](#) <-- This link points to this version.

To check-out and/or edit this file, select Edit Document or Check Out Document from the Document menu above.

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## ATTACHMENT 4: FREEDOM OF INFORMATION ACT (FOIA) EXEMPTIONS TABLE

(OUO information possessing damage potential)

### Freedom of Information Act (FOIA) Exemptions Table

Exemption	Purpose	General document-type example	WES document-type example
Exemption 2 – Circumvention of Statute	Primarily protects internal information which could benefit someone attempting to violate a law or agency regulation and avoid detection.	<ul style="list-style-type: none"> <li>Appraisal methods</li> <li>Audit criteria</li> <li>Classification guidance</li> <li>Guidelines for conducting an investigation</li> <li>Tests and answers</li> <li>Unclassified description of a security measure that allows an adversary to exploit a vulnerability</li> </ul>	<ul style="list-style-type: none"> <li>Baseline change proposals (BCPs)</li> <li>Budget proposal summary</li> <li>Contractual agreements</li> <li>Cost proposals</li> <li>Deficiency reports</li> <li>Incident reports</li> <li>Information on financial condition</li> <li>Operating costs</li> <li>Purchase requests</li> <li>Statement of work (only if \$\$ mentioned)</li> <li>Variance analysis report</li> </ul>
Exemption 3 – Statutory Exemption	Protects information specifically prohibited by law from disclosure and not otherwise controlled.	<ul style="list-style-type: none"> <li>Commercial and business confidential information</li> <li>Export control information</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>
Exemption 4 – Commercial/Property	Protects trade secrets or confidential business information.	<ul style="list-style-type: none"> <li>Business sales statistics</li> <li>Customer and supplier lists</li> <li>Information on financial condition</li> <li>Overhead and operating costs</li> <li>Profit and loss data</li> <li>Research data</li> <li>Technical designs</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>

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## ATTACHMENT 4: FREEDOM OF INFORMATION ACT (FOIA) EXEMPTIONS TABLE

(OUO information possessing damage potential)

### Freedom of Information Act (FOIA) Exemptions Table

Exemption	Purpose	General document-type example	WES document-type example
Exemption 5 – Privileged Information	Protects interagency or intra-agency memos or letters not available by law to a party unless the party is in litigation with the agency.	<ul style="list-style-type: none"> <li>Appraisal results</li> <li>Confidential communications between an attorney and his/her client</li> <li>Comments on options for a project</li> <li>Comments on a decision yet-to-be-made</li> <li>Documents and correspondence prepared by an attorney in contemplation of litigation</li> <li>Evaluations</li> </ul>	<ul style="list-style-type: none"> <li>Any attorney/client confidential information</li> <li>Any litigation correspondence</li> </ul>
Exemption 6 – Personal Privacy	Protects information that could cause an individual personal distress or embarrassment.	<ul style="list-style-type: none"> <li>Personnel records</li> <li>Marital status</li> <li>Medical records</li> <li>Social security numbers</li> <li>Unlisted home phone number</li> </ul>	<ul style="list-style-type: none"> <li>Accident reports damaging subcontractor safety</li> <li>Dismissal information</li> <li>Evaluation reports or appraisals</li> <li>Information with social security numbers</li> <li>Medical records</li> <li>Negative statements of any kind</li> <li>Personnel information</li> <li>Security infraction report</li> </ul>
Exemption 7 – Law Enforcement	Protects information compiled for law enforcement purposes.	<ul style="list-style-type: none"> <li>Interferes with enforcement proceedings</li> <li>Deprives a person of right to fair trial</li> <li>Unwarranted invasion of personal privacy</li> <li>Discloses identity of a confidential source</li> <li>Discloses techniques and procedures for law enforcement investigations or prosecutions</li> <li>Endangers life or physical safety of an individual</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>
Exemption 8 – Financial Institutions	Protects matters related to examination, operating, or condition reports for the regulation or supervision of financial institutions.	<ul style="list-style-type: none"> <li>Those relating to the security of financial institutions</li> <li>Those documents relating to communication between employees and examiners</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>

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## ATTACHMENT 4: FREEDOM OF INFORMATION ACT (FOIA) EXEMPTIONS TABLE

(OUO information possessing damage potential)

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### Freedom of Information Act (FOIA) Exemptions Table

Exemption	Purpose	General document-type example	WES document-type example
Exemption 9 – Wells	Protects geological and geophysical information and data, including mps, concerning wells.	<ul style="list-style-type: none"><li>Rarely invoked or interpreted</li><li>Applies only to well information of a technical or scientific nature</li></ul>	<ul style="list-style-type: none"><li>N/A</li></ul>

**NOTE:** These requirements comply with DOE Order 471.3, approved on 04/09/2003.

**S-7 Approval Signature:**

Jill Hefele [Signature on File]

Date: 03/10/2005

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Example

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## ATTACHMENT 5: RPF OUO/UCNI CHECKOUT FORM

### RPF OUO/UCNI Checkout Form

Records Use only



Request Date:

Requestor:

Z#:

Requestor's Signature:

ER ID #:

Purpose for record (need to know):

**Example**

**(RPF use only)**

Author/originator approval *(if necessary)*:

Redacted (please check one):  Yes  No

Released by (RPF personnel):

Date of release:

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## ATTACHMENT 6: TARGET FOR OUO/UCNI RECORD(S)

Target for OUO/UCNI Record(s)

Records Use only



**OUO—Target for DOMINO**

**“Official Use Only” (OUO) Records**

**Example**

- Please contact the EP personnel at [ep\\_records@lanl.gov](mailto:ep_records@lanl.gov) for document retrieval.