

	<ul style="list-style-type: none"> • Records shall be identified, and maintained separately from non-records, as required by Federal laws and regulations. • Record/non-record decisions are required for all documents generated/received. • Non-records needed for reference must be marked non-record (document or folder) copies and cannot be retained longer than the original record. • See Attachment 2: Working Papers Quick Reference Guide for additional guidance on handling working papers (e.g., drafts, notes, etc.). • See Attachment 3: Photograph Guidance for additional guidance on handling photographs. • Contact your organizational RC or RMFO if there are questions concerning whether a document is a record. • At the point of record identification, the employee becomes the Record Holder (RH) for the record(s).
Step 2	<p>RH determines the proper record category code by referring to the organizational file plan. Documents are filed based on record subject/content.</p> <p>▲ Note: Contact your organizational RC or RMFO for assistance with determining the appropriate record category code or if a new record category code needs to be added to the organizational file plan.</p>
Step 3	<p>RH determines if record requires special handling:</p> <ul style="list-style-type: none"> • Records containing Official Use Only (OUO), Unclassified Controlled Nuclear Information (UCNI), Unclassified Controlled Information (UCI), Personally Identifiable Information (PII) or other special markings; shall be identified and marked/labeled and maintained in accordance with the applicable DOE directives. See References and Attachment 4: How to Mark/Label OUO, UCNI and UCI Information. • The EMCBC (Cincinnati, Ohio office) and most small sites do not maintain classified records. Classified records are controlled and maintained at the EMCBC Lakewood, Colorado office. • Sensitive information requires proper protection and cannot be stored in an open central file area.
Step 4	<p>RH works with the Quality Assurance (QA) Records Coordinator to ensure</p>

	<p>QA records are properly identified within procedures and furnish documentary evidence that items or activities meet specified quality requirements. The QA Records Coordinator reviews and assists the RH in classifying QA records as lifetime or nonpermanent. See Attachment 5: Is Your Record a Quality Assurance (QA) Record? Additional requirements for the identification and maintenance of QA records are identified procedure SAP-OTSAM-414E-01 Quality Assurance Records.</p> <p>QA classifications shall be noted on the organizational file plan. If it is not noted, contact the RMFO to ensure the organizational file plan is updated accordingly.</p> <p>▲ Note: Each of the organizational file plans combined make up the EMCBC MFP.</p>
<p>Step 5</p>	<p>RHs and/or RCs create and maintain file folders for every file code/subject or case file created or received. For guidance on the management of paper records, see Attachment 6: Guidelines for Managing Paper Records.</p> <p>▲ Note: Only active records should be maintained in centralized/decentralized filing. See Records Management procedure SAP-OTSAM-243-05 Transferring Inactive Paper Records to Records Holding Area / Records Storage Facility.</p>
<p>Step 6</p>	<p>RH forwards records to the RC for centralized filing, if applicable. NOTE: If records are to be maintained in an individual’s office (decentralized filing), the RC must be notified to ensure the location is updated in the Electronic Records Management System (ERMS), see Step 7.</p> <p>▲ Note: RC shall notify RM staff of changes until RC is trained to make changes in ERMS.</p>
<p>Step 7</p>	<p>RH and/or RC shall notify the RM Staff and/or RMFO of any new folders created. Folder metadata is then entered into the ERMS. Metadata includes complete folder title, folder owner, inclusive dates, location, folder description (if applicable), etc.</p> <p>▲ Note: RC will be responsible for this step at some point in the future.</p>
<p>Step 8</p>	<p>RH shall label each file folder with the following information that can be found in the Organizational File Plan:</p> <p>DOE Records Disposition Schedule Folder Title (no acronyms) Inclusive Dates Special Markings (PII, OUO, QA, UCNI, etc...)</p> <p>Example:</p>

	ADM 22.2.b.2 Audits/Assessments EMCBC Records Management Assessment September 1, 2014 – December 31, 2015
Step 9	<p>If paper record files or individual paper records are removed and forwarded to an individual or office, the employee shall ensure a record of such loan is completed by utilizing FM-OTSAM-243-01-F1, EMCBC Records Management Temporary Loan Request form. Employee shall work with the RC to complete a Charge-Out Record card. See Attachment 7: Charge-Out Record Card.</p> <p>The Charge-Out Record card shall be filled out and placed in the folder or file drawer in place of the withdrawn material. Place the Charge-Out Record card at the exact location of the withdrawn material with the “OUT” portion clearly visible.</p>
Step 10	<p>The RC or RH shall review the Charge-Out Record cards periodically and request the return of records that have been charged out for at least 3 months and update the FM-OTSAM-243-01-F1, Temporary Loan Request form. When the material is returned to the file and/or box, remove the Charge-Out Record card and draw a line through the entry indicating the change.</p> <p>The Temporary Loan Request Return Receipt must be signed after a quality check has been performed.</p>
Step 11	<p>RC shall notify the RMFO 2 weeks prior to an employee terminating or as soon as individual is aware of leaving employment. Paper records maintained by the departing RH must be reassigned to a new RH (or RC) within the ERMS prior to terminating/transfer or turnover to Records Management. See SAP-OTSAM-243-07, Identifying, Filing and Maintaining E-mail Records for handling e-mail (electronic) records.</p> <p>Note: RC shall remind terminating/transferring employee that Federal laws prohibit the removal of Federal records & non-records from agency custody even if transferring to another DOE site, including a site supported by the EMCBC.</p>
Step 11	<p>RH works with the RC and/or RMFO annually to transfer records to storage as records become inactive; past cutoff, as noted on the organizational file plan. See Records Management procedure SAP-OTSAM-243-05, Transferring Inactive Paper Records to Records Holding Area / Records Storage Facility.</p>
Step 12	<p>RMFO shall coordinate destruction of paper records in accordance with procedure SAP-OTSAM-243-06, Destruction of Temporary Unclassified Paper Records.</p>

3.0 References – Attachments/Forms

3.1 References

- DOE O 471.6, Information Security
- DOE M 471.3-1, Manual for Identifying and Protecting Official Use Only Information
- DOE O 471.1B, Identification and Protection of Unclassified Controlled Nuclear Information
- SAP-OTSAM-414E-01, Quality Assurance Records
- SAP-OTSAM-243-05, Transferring Inactive Paper Records to Records Holding Area / Records Storage
- SAP-OTSAM-243-06, Destruction of Temporary Unclassified Paper Records

3.2 Attachments

- Attachment 1: Is it a Record?
- Attachment 2: Working Papers Quick Reference Guide
- Attachment 3: Photograph Guidance
- Attachment 4: How to Mark/Label OUO, UCNI and UCI Information
- Attachment 5: Is Your Record a Quality Assurance (QA) Record?
- Attachment 6: Guidelines for Managing Paper Records
- Attachment 7: Charge-Out Record Card

3.3 Forms

- FM-OTSAM-243-01-F1, EMCBC Records Management Temporary Loan Request

4.0 Records Generated

Records generated through implementation of this procedure are identified as follows and are maintained by the Office of Technical Support and Asset Management (OTSAM) in accordance with the EMCBC organizational file plan.

Records Category Code	Records Title	Responsible Organization	QA Classification (Lifetime, Non-Permanent or N/A)
ADM 16-07	Records Management Files – Records Management Temporary Loan Requests	Office of Technical Support & Asset Management	Not Applicable

EMCBC RECORD OF REVISION**DOCUMENT TITLE: Identifying, Filing, and Maintaining Paper Records**

If there are changes to the controlled document before the two-year review cycle, the revision number stays the same; one of the following will indicate the change:

I Placing a vertical black line in the left margin adjacent to sentence or paragraph that was revised; or

I Placing the words GENERAL REVISION at the beginning of the text. This statement is used when entire sections of the document are revised.

If changes and updates occur at the two-year review cycle, the revision number increases by one.

Rev. No.	Description of Changes	Revision on Pages	Date
0	N/A 1st Edition to meet EMCBC MS needs.	N/A	4/17/13
1	Updated Process	ALL	10/05/2015