

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-434-01-03

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: **10/26/2022**

## **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All other items not listed below.

## **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 3 is superseded by DAA-0434-2015-0006-0027

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <b>71-434-01-3</b>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <b>3-14-01</b>	
1. FROM (Agency or establishment) <b>U.S. Department of Energy</b>		NOTIFICATION TO AGENCY	
<b>19901 Germantown Road</b> <b>Germantown, Maryland 20874-1290</b>		In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION <i>Spent Nuclear Fuels (SNF) Program</i> <del>Submitted by: Idaho Operations Office</del> <del>Idaho Falls, ID 83401</del>			
3. MINOR SUBDIVISION <del>Idaho National Engineering &amp; Environmental Lab</del>			
4. NAME OF PERSON WITH WHOM TO CONFER <b>Lorrie Robb, INEEL</b>	2. TELEPHONE NUMBER <b>208-526-8161</b>	DATE <b>7-2-02</b>	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</i>
3. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>4</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is not required <input checked="" type="checkbox"/> <b>XX</b> <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <b>01/29/01</b>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Susan L. Frey</i> <b>Susan L. Frey / S.L.F.</b>		TITLE <b>Departmental Records Officer</b>
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB	10. ACTION TAKEN (NARA USE ONLY)
	<b>Generic DOE Schedule to cover Spent Nuclear Fuels Records</b>  <b>(See attached)</b>  <b>Note: Schedule has been coordinated through appropriate DOE sites.</b>		
<i>cc: Agency, NR, NWMD, NWML</i>			

# RECORDS SCHEDULE FOR SPENT NUCLEAR FUELS

## INTRODUCTION

The basic function of Spent Nuclear Fuel (SNF) Programs is to safely, reliably, and effectively manage the Department of Energy (DOE)-owned fuel and to prepare it for disposal. The DOE's spent nuclear fuel includes fuel generated by DOE production, research and development reactors, Naval reactors, university and foreign research reactors, domestic non-DOE reactors such as those at the National Institute of Standards and Technology and the Armed Forces Radiobiology Research Institute, and special-case commercial reactors such as Fort St. Vrain and the Lynchburg Technology Center. The management of these fuels leading to final disposition is controlled by several programmatic and site-specific National Environmental Policy Act (NEPA) documents that are produced by DOE, its operating contractors, and specified universities.

The elimination of nuclear fuel reprocessing in the United States has forced major changes in the SNF priorities, practices, and mission. The SNF priorities have been adjusted by court mandates, the Phase III Vulnerability Report, the Programmatic SNF Environmental Impact Statement (EIS) Record of Decision Option 4a, and agreements reached with various states. A program of vulnerability resolution and SNF stabilization has been devised. The program is directed at the safe storage of spent nuclear fuel currently stored at various DOE locations, and fuel designated for transfer to the various sites within the DOE complex for interim storage pursuant to the final disposition at a repository.

Records are generated during the various functions and phases of the SNF lifecycle including transfer to interim storage locations and eventually to a final repository. These records preserve documentary evidence for the protection provided to employees, the public, property, and the environment during activities associated with storing and handling the fuel. This records schedule uses a project case filing method that emphasizes stringent document control and records management principles. The project case file method (1) preserves pertinent documents needed to replicate the project and activities following the fulfillment of the project mission, (2) defines the files as a records series that reflects the complete history of the project from conception to completion, (3) maintains the project files intact, (4) allows records disposition scheduling decisions to be made at the project level, rather than on an individual document or folder basis, and, (5) enhances the ease and speed of future records retrieval requests. The purpose of the SNF project case file method is to retain the required SNF records so when spent nuclear fuel is shipped, pertinent records are also transferred intact. This schedule includes any records determined to be pertinent for safely transferring, storing, or preparing fuel for final disposition.

The records series may include, but is not limited to records that are required by DOE, the Department of Transportation (DOT), the Environmental Protection Agency (EPA), the Nuclear Regulatory Commission (NRC) and/or other regulatory agencies.

The records series or SNF project case files will be retained and adequately stored onsite at interim record storage facilities until the fuel is transferred to a designated offsite interim storage facility or repository. The SNF project case files will be sent intact to the new custodian when SNF is transferred. The new custodian of the transferred records will be responsible to retain the documents in accordance with approved records schedules or current regulations.

DESCRIPTION OF RECORDS

1. OFFSITE STORAGE FACILITY OR FINAL REPOSITORY DOCUMENTS.

Spent nuclear fuel records are retained to document evidential information pertaining to the fuel. These records will be retained intact at onsite locations until the fuel is transferred to a designated offsite storage facility or final repository. The SNF project case files include records required by DOE, DOT, EPA, and/or NRC.

Spent nuclear fuel records may include, but are not limited to, the following related records:

A. Documents that contain unique serial numbers for each fuel handling unit, dates received, types and conditions of fuel stored characteristics of fuel storage media, (e.g., pH, Cl-), the receipt and transfer of SNF within and between onsite or offsite facilities, fuel storage locations, and storage positions.

B. Records that contain fuel information questionnaires completed by the shipper documenting fuel composition, cladding, physical description of fuel, fuel packaging, fuel-handling fixtures, and shipping containers.

C. Documents that provide details sufficient to determine the requirements for and record the analytical results associated with radiation shielding, thermal performance, and basis of criticality safety for the fissile material contained in spent nuclear fuels and process systems (e.g., Criticality Safety Evaluation Reports, Origen computer code data containing radionuclide mass inventory, decay heat, and dose rate information).

D. Correspondence, including management review and approval letters pertinent to receipt and shipment of spent nuclear fuel.

E. Drawings, specifications, photographs, non-destructive examinations (NDE) reports or review records, contract or work agreements, statements of work, audits, event documentation, permits, personnel training and qualifications documents of individuals executing program requirements, organization charts, property lists, closure plans, final reports, and procedures.

RECOMMENDED DISPOSITION

~~Permanent. Retain records at location of the final repository for the life of the storage facility. Transfer to National Archives when no longer needed, which ever is later.~~

~~at the close of the facility or~~

Retain records at the location of the final repository/storage facility for the life of the repository/storage facility. Destroy when 75 years old or <sup>6 years after the</sup> demise of the repository/storage facility whichever is later.

Change agreed to by INEEL Records Mgmt staff via phone call with Lorrie Rott on 1/22/2002  
CLH

DESCRIPTION OF RECORDS

F. Documentation that describes how SNF records that require long-term retention periods are being stored, including documents and programs needed to retrieve information (i.e. indices, computer programs).

G. Documents that provide evidence of the quality or describe processes associated with the characterization, conditioning, and acceptance of DOE spent nuclear fuel.

**2. DOCUMENTS ASSOCIATED WITH NRC LICENSES FOR INDEPENDENT SPENT FUEL STORAGE INSTALLATIONS.** Spent nuclear fuel record series that are required by the conditions of a Nuclear Regulatory Commission license or by the rules, regulations, and orders of the Commission. These records may include, but are not limited to, reports addressing safety analysis, events, nuclear material transfer, material status, accidental criticality or loss of special nuclear material. Also, records associated with material balance and inventory, decommissioning plans, and records of the results of air sampling, dose surveys, and bioassays may be included.

**3. ONSITE SUPPORT RECORDS** retained in support of SNF programs. These records may include, but are not limited to, program plans, project reviews, financial documentation, sundry reports, correspondence related to milestones and project scope, meeting minutes, and/or any duplicate records cited in (1) above, that are retained for onsite purposes.

a. In cases of legal liability - documents that are required to satisfy any liability that may be associated or related with onsite facilities or general DOE -wide SNF activities. When liability pertains to

(1) contractual issues;

(2) contractual negligence issues

b. Any onsite spent nuclear fuels records that are NOT directly associated with fuel being transferred but are retained in support of SNF programs at the site from which the fuel is being sent.

**4. PRELIMINARY SPENT NUCLEAR FUEL SHIPMENT RECORDS** for fuel proposed to be sent to an interim storage location but was not transferred as planned.

RECOMMENDED DISPOSITION

Retain for the period specified by the license conditions or, if not specified, ~~until the Nuclear Regulatory Commission terminates the license.~~

*for 3 years after which ever is later*

*DSM  
4/4/02*

Destroy 10 years after fuel is transferred to final repository, or close of contract whichever is later.

Destroy 5 years after close of legal action.

Destroy 5 years after fuel is transferred.

Retain for 3 years after notification that fuel will not be transferred as planned.

5. Electronic Records.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a record keeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a) Copies that have no further administrative value after the record keeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the record keeping copy.

Destroy/delete within 180 days after the record keeping copy has been produced.

- b) Copies used for dissemination, revision, or updating that are maintained in addition to the record keeping copy.

Destroy/delete when dissemination, revision, or updating is completed.