

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-434-99-003

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item 2/B/1 is superseded by DAA-0434-2015-0006-0026

Pittsburgh Naval Reactors Office

1. ~~Permanent Research and Development (R&D) Records~~

These records are maintained in centralized files for laboratory-wide access and consist of technically and administratively significant records related to the research, design, and development of naval nuclear propulsion plants, the support of testing, operation, overhaul, and maintenance of fleet and prototype naval nuclear propulsion plants and the design, testing, and evaluation of naval nuclear propulsion plant components and systems

Since 1949, Bettis has maintained technically and administratively significant external (distributed to other Naval Nuclear Propulsion Program elements) reports, documents, and correspondence and all drawings in centralized master files for use laboratory wide by individuals with need-to-know Internal (distribution limited to within Bettis Atomic Power Laboratory) documents, reports, and correspondence, sensitive information, test and raw data, less significant information, and other research and development (R&D) records have been maintained in decentralized files by each originating Activity or work group Starting in 1994, Bettis will implement the Automated Document/Drawing Storage and Retrieval System (ADSARS) which will serve as a centralized index and retrieval mechanism for virtually all R&D records in all media ADSARS will incorporate and expand the existing master files The following schedules encompass the records retention needs for the historical master files, the new ADSARS system and R&D records which have not been included in the master files or will not be included in the ADSARS system It should be noted that when a new record is indexed in ADSARS, the originator of the record will be required to evaluate the record based on the criteria identified in this schedule and determine the retention period

Apply DOE Schedule NT-434-96-9
Level 1

- a Permanent Research and Development Master File and ADSARS Records meet one or more of the following criteria

show the development of or relate to new or significant methodology, materials, designs, or techniques,
relate to critical environmental, health, or safety issues,
were the subject of Congressional investigation or came under intensive public scrutiny, or
result in judicial decisions, legislative activities, or significant changes in the functions or activities of the Naval Nuclear Propulsion Program

(1) Paper R&D permanent records

Medium paper

Dates 1949-ongoing

Volume 5000 cu ft est

Accumulation rate 100 cu ft /yr

Arrangement numerical or alpha/numerical

Highest classification Confidential restricted data (CRD)

Permanent. Cut off files in 1 cubic foot increments Transfer to site records center following verification of indexing data Transfer to Federal Records Center (FRC) within five years of receipt at site records center Transfer to the National Archives following closeout of final Government contract

(2) Microform R&D permanent records

Medium Microfilm, microfiche, computer output microfiche and microfilm, aperture cards

Dates 1963-present

Volume 100 cu ft est

Accumulation 5 cu ft /yr est

Arrangement numerical

Highest classification CRD

*Apply DOE Schedule N1-434-96-9
Level 1*

Permanent. If duplicates are available, store originals in climate controlled local area or in site records center as soon as possible after creation If duplicates are not available, cut off files when no longer needed for frequent reference and transfer to site records center in 1 cu ft increments Transfer to National Archives following closeout of final Government contract, unless shortage of climate-controlled space necessitates earlier transfer

(3) Photographic R&D permanent records

Medium photographic negatives

Dates 1949-present

Volume 100 cu ft est

Accumulation rate 3 cu ft /yr

Arrangement numerical

Permanent Cut off files in 1 cu ft increments every five years Transfer to site records center Transfer to FRC within 5 years of receipt in site

records center Transfer to National Archives following closeout of final Government contract

(4) Electronic R&D permanent records

Medium electronic
Dates 1970-present
Volume 50 cu ft
Accumulation rate 3 cu ft /yr
Arrangement alpha/numeric

Permanent Cut off at closeout of final Government contract unless storage space shortages warrant earlier cutoff Transfer along with systems documentation to National Archives following closeout of final Government contract

(5) Videotape R&D permanent records

Medium videotape
Dates 1980-present
Volume 10 cu ft
Accumulation rate less than 1 cu ft /yr
Arrangement chronologically by subject

*Apply DOE schedule NI-43496-9
Level 1*

Permanent Cut off files when no longer needed for frequent reference and transfer to site records center in 1 cu ft increments Transfer to the National Archives following closeout of final Government contract

(6) Sound tape R&D permanent records

Medium analog magnetic sound tapes
Dates 1980-ongoing
Volume 1000 tapes
Accumulation rate 50 tapes/yr est
Arrangement numerical

Permanent Cut off files when no longer needed for frequent reference Transfer to site records center for storage in climatically-controlled area Transfer to National Archives following closeout of final Government contract

b **Permanent R&D Incident Report Records**

Incident reports describe unusual events and occurrences which occur on sites, ships, and prototypes and include causes and corrective actions. These reports relate to environmental, safety, and health issues.

Medium Paper

Dates 1970-present

Volume 100 cu ft

Arrangement numerical

Accumulation rate 5 cu ft/yr

Apply DOE Schedule NI-434-96-9
Level 1

Permanent Cut off files in 1 cu ft increments when no longer needed for frequent reference or following entry into optical imaging system and transfer to site records center. Transfer to FRC within 2 years of cutoff. Transfer to National Archives following closeout of final Government contract.

c **Finding Aids for Permanent R&D Records**

Finding aids for the records described above are maintained in various media including paper, microform, and electronic and are maintained as described above for each media.

Permanent Transfer to National Archives at the time of transfer of related records.

2. **Temporary (Long-term) Research and Development Records**

These records consist of technically and administratively significant reports, correspondence, data, drawings, test documentation, etc., related to the design, development, research, testing, evaluation, operation, and support of naval nuclear propulsion plants, prototypes, systems, and components. These records do not meet the criteria for permanent retention identified above. At a minimum, these records must be maintained for the life of the ship, prototype, component, or system and often have continuing research value beyond the life of equipment but do not warrant permanent retention.

a **ADSARS R&D Temporary (Long-term) Records**

These records will be maintained in centralized files and indexed in ADSARS. The originator of the record will be required to evaluate the record to determine the appropriate retention period prior to entry into ADSARS. ADSARS supports optical disk imaging technology and records which are appropriate for storage in this media will be converted to images.

(1) Optical image R&D records

Original records converted to this medium will be disposed of following a quality control check of image. Record transportability will be assured prior to acquisition of new equipment or upgrading of existing equipment. Records will be transferred to new media within 2 years prior to the expiration of the proven lifetime of the media on which they are stored.

Destroy when 100 years old or less based on technical review. Review every 25 years to determine continuing need.

(2) Paper R&D temporary (long-term) records which are converted to the ADSARS imaging system

Destroy following quality control checks of optical disk image.

(3) Paper R&D temporary (long-term) records which are not converted to images

Cut off in 1 cu ft increments following verification of indexing data. Transfer to site records center. Transfer to FRC within 5 years of cutoff. Destroy when 100 years old or less based on technical review. Review every 25 years for continuing need.

(4) Microform R&D temporary (long-term) records

Destroy when 100 years old or less based on technical evaluation. Review every 25 years for continuing need.

(5) Photographic R&D temporary (long-term) records

Cut off files every three years and transfer to site records center. Transfer to FRC within 5 years of cutoff. Destroy when 100 years old or less based on technical review. Review every 25 years.

(6) Electronic R&D temporary (long-term) records

Destroy when 100 years old or less based on technical review. Review every 25 years.

(7) Videotape R&D temporary records

Destroy when 100 years old or less based on technical review. Review every 25 years.

(8) Sound tape R&D temporary (long-term) records

Destroy when 100 years old or less based on technical review Review every 25 years

b R&D Temporary (Long-term) Records Not Maintained in Centralized Files (Activity Records)

Activities or work groups maintain decentralized files of R&D temporary records which are not, for various reasons, appropriate for storage in centralized files Prior to 1994, these files contained many of the records identified in Item 2 a , above

(1) Activity paper R&D temporary (long-term) records

Cut off files when no longer needed for frequent reference Transfer to site records in 1 cu ft increments Transfer to FRC within 5 years of cutoff Destroy when 100 years old or less based on technical review Review every 25 years for continuing need

(2) Activity microform R&D temporary (long-term) records

Destroy when 100 years old or less based on technical evaluation Review every 25 years for continuing need

(3) Electronic R&D temporary (long-term) records

Destroy when 100 years old or less based on technical review Review every 25 years

(4) Videotape R&D temporary records

Destroy when 100 years old or less based on technical review Review every 25 years

c Technical Work Record (TWR) Book Records

TWR books are serialized, controlled bound notebooks in which scientists and engineers document their technical work, calculations, raw data, sketches, and other information which form the basis for technical decisions, designs, conclusions, etc Each section of the TWR which describes new work is reviewed by a peer and the supervisor TWR books may contain patentable information These books are frequently referenced in other documents and are needed for the research value of the information they contain The Bettis Library assigns TWR books and tracks the location of all books throughout their lifetime The Library conducts an annual

inventory of all active (not in storage) books

Return TWR books to Bettis Library when no longer needed for frequent reference
Bettis Library will transfer to site records center in 1 cu ft increments following
update of TWR database Transfer to FRC within 1 year of cutoff Destroy 200 ^{1/2}
years after cutoff or earlier based on technical review Review every 50 years

d Finding aids for R&D Temporary (Long-term) Records

Finding aids for the records described above are maintained in various media
including, paper, microform, and electronic and are maintained as described above

Destroy when related records are destroyed

3. Temporary (Shorter-term) Research and Development Records

These records consist of technical and administrative reports, correspondence, data, drawings,
test documentation, etc , related to the design, development, research, testing, evaluation,
operation, and support of naval nuclear propulsion plants, prototypes, systems, and
components These records have probable value to support ongoing work but do not warrant
long-term or permanent retention as determined by technical evaluation at the time of records
creation or transfer to records storage

a ADSARS R&D Temporary (Shorter-term) Records *Apply DOE Schedule N1-434-96-9 Level 2*

These records will be maintained in centralized files and indexed in ADSARS The
originator of the record will be required to evaluate the record to determine the
appropriate retention period prior to entry into ADSARS ADSARS supports optical
disk imaging technology and records which are appropriate for storage in this media
will be converted to images

(1) Optical image R&D records

Original records converted to this medium will be disposed of following a
quality control check of image Record transportability will be assured prior
to acquisition of new equipment or upgrading of existing equipment Records
will be transferred to new media within 2 years prior to the expiration of the
proven lifetime of the media on which they are stored

Destroy when 25 years old

- (2) Paper R&D temporary (shorter-term) records which are converted to the ADSARS imaging system

Destroy following quality control checks of optical disk image

- (3) Paper R&D temporary (shorter-term) records which are not converted to images

Cut off in 1 cu-ft- increments following verification of indexing data
Transfer to site records center Transfer to FRC within 5 years of cutoff
Destroy when 25 years old

- (4) Microform R&D temporary (shorter-term) records

Destroy when 25 years old

*Apply DOE Schedule N1-434-96-9
Level 2*

- (5) Photographic R&D temporary (shorter-term) records

Cut off files every three years and transfer to site records center Transfer to FRC within 5 years of cutoff Destroy when 25 years old

- (6) Electronic R&D temporary (shorter-term) records

Destroy when 25 years old

- (7) Videotape R&D temporary (shorter-term) records

Destroy when 25 years old

- (8) Sound tape R&D temporary (shorter-term) records

Destroy when 25 years old

b R&D Temporary (Shorter-term) Records Not Maintained in Centralized Files (Activity Records)

Activities or work groups maintain decentralized files of R&D temporary records which are not, for various reasons, appropriate for storage in centralized files. Prior to 1994, these files contained many of the records identified in Item 3 a above

(1) Activity paper R&D temporary (shorter-term) records

Review local files annually Cut off files when no longer needed for frequent reference Transfer to site records in 1 cu ft increments Transfer to FRC within 5 years of cutoff Destroy when 25 years old

(2) Activity microform R&D temporary (shorter-term) records

Destroy when 25 years old

(3) Electronic R&D temporary (shorter-term) records

Destroy when 25 years old

*Apply DOE Schedule NI-434-96-9
Level 2*

(4) Videotape R&D temporary (shorter-term) records

Destroy when 25 years old

c Finding aids for Temporary (Shorter-term) Records

Finding aids for the records described above are maintained in various media including, paper, microform, and electronic and are maintained as described above for each media

Destroy when associated records are destroyed

4. Temporary (Short-term) Research and Development Records

These records consist of R&D preliminary and raw data which are incorporated in Items 1, 2, or 3, above, test run log books, superseded drawing and other revisions, and administrative R&D internal reports and correspondence which have little or no research or support value and are not covered in other approved schedules of administrative documents These records are maintained by the offices which create them and are not included in centralized, Laboratory-wide files

a Paper R&D temporary (short-term) records

Destroy when 5 years old or sooner if determined by technical review to be of no further research value

*Apply DOE Schedule NI-434-96-9
Level 3*

b Microform R&D temporary (short-term) records

Destroy when 5 years old or sooner if determined by technical review to have no further research value

c Electronic R&D temporary (short-term) records

Destroy when 5 years old or sooner if determined by technical review to be of no further research value

d Videotape R&D temporary (short-term) records

Destroy when 5 years old or sooner if determined by technical review to be of no further research value

e Finding aids for Temporary (Short-term) Records

Finding aids for the records described above are maintained in various media including paper, microform, and electronic and are maintained as described above for each media

Destroy when associated records are destroyed

Apply DOE Schedule
NI-434-96-9
Level 3

5 Policy, Procedure, and Operating Manuals

These records include policy, procedure, and operating manual case files, including the record sets of the manuals, all manual revisions and the case files which document the development of and changes to these manuals and their revisions. The manuals incorporate rules, regulations, directives, laws, policies, etc., of the U S Department of Energy, the U S Department of Defense, and other Federal, state and local government agencies and Westinghouse Electric Corporation

Medium paper

Dates 1955-present

Volume 25 cu ft

Accumulation rate less than 1 cu ft /yr

Arrangement chronological by subject

Apply DOE Schedule
NI-434-96-9
Level 1

Permanent Cut off files when no longer needed for frequent reference. Transfer to site records center in 1 cu ft increments. Transfer to FRC within 5 years of receipt at site records center. Transfer to National Archives following closeout of final Government contract

6 Nuclear Propulsion Program Spent and New Naval Reactor Core Completed Shipment Files

These are paper documents consisting of shipment planning paperwork, bills of lading, escort logs, radiological surveys, SNM transfer receipts, etc. They provide an historical record of completed shipments that document transit times, routes, compliance with U S

DOT regulations, and any significant events during shipment

a Records documenting shipment of a new core

Destroy 10 years after last shipment

b Records documenting shipment of a spent core

Destroy 20 years after last shipment

7 Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping 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 recordkeeping 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 recordkeeping copy

Destroy/delete within 180 days after the recordkeeping copy has been produced

b Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy

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