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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0431-2013-0002

Request for Records Disposition Authority

Records Schedule Number DAA-0431-2013-0002

Schedule Status Returned Without Action

Agency or Establishment Nuclear Regulatory Commission

Record Group / Scheduling Group Records of the Nuclear Regulatory Commission

Records Schedule applies to Agency-wide

Schedule Subject Licensing - Reactor Licensing

Internal agency concurrences will be provided No

Background Information

All items included are part of the overall NRC licensing process that supports New Reactors , Operating and Research and Test Reactors.

Licensing Information Business Category

Tasks are associated with the Commission's authority to grant a license. Activities include the review of the application, the operation; renewal and decommissioning of the facility licenses and licensing activities for applicants and operators, along with technical disciplines and other factors as specified in the NRC's regulations.

Reactor Licensing Information Business Function

Efforts support the technical review of licensing and regulatory activities associated with domestic licensing of production and utilization facilities (power and research and test reactors) and operators' licenses. Includes documentation related to an applicant, current and terminated licensed nuclear facility operators' licensing actions and documentation related to maintaining a record of current and terminated licensed nuclear facility operators including case files, applications, examinations, licenses, medical certificates, etc. (see CFR part 55).

The NRC's operator licensing program is governed by the regulations in 10 CFR Part 55 and implemented in accordance with the guidance in NUREG-1021, "Operator Licensing Examination Standards for Power Reactors," and other documents.

The licensing program establishes a contract between licensees and the agency which sets expectations for the commercial use of radioactive material within the legal framework of the NRC's safety

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and environmental regulations. The licensing program includes processing licensing actions for individual plants, licensing reactor operators, reviewing licensee responses to identified safety issues, evaluating the safety implications of generic approaches to safety issues by reactor vendor groups, decommissioning plants at the end of their licenses, and approving risk-informed revisions to plant technical specifications for both the commercial power reactor and test and research reactor communities. Licensing program elements that are integral to the NRC mission include review of license renewal applications, early site permit applications, new reactor designs, and power uprate applications, and improvement of standardized plant technical specifications.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	7

GAO Approval

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Outline of Records Schedule Items for DAA-0431-2013-0002

Sequence Number	
1	Licensing Files
1.1	Unapproved Licensing Files Disposition Authority Number: DAA-0431-2013-0002-0001
1.2	Approved Licensing Files - Non-Decommissioning Disposition Authority Number: DAA-0431-2013-0002-0002
1.3	Approved Licensing Files - Decommissioning Disposition Authority Number: DAA-0431-2013-0002-0003
1.4	Operator Licensing Files Disposition Authority Number: DAA-0431-2013-0002-0004
2	Reactor Licensing Systems
2.1	Reactor Program System (RPS) Disposition Authority Number: DAA-0431-2013-0002-0005
2.2	Reactor Vessel Integrity Database (RVID) Disposition Authority Number: DAA-0431-2013-0002-0006
3	Communications and Issuances
3.1	Generic Communications / Issuances Disposition Authority Number: DAA-0431-2013-0002-0007

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Records Schedule Items

Sequence Number	
1	Licensing Files
1.1	Unapproved Licensing Files
	Disposition Authority Number DAA-0431-2013-0002-0001
	Files related to withdrawal or otherwise cancelled project(s) and application(s) for construction and/or licensing.
	Final Disposition Temporary
	Item Status Withdrawn
	Is this item media neutral? Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes
	Do any of the records covered by this item exist as structured electronic data? Yes
	GRS or Superseded Authority Citation NC1-431-81-1, Item 1.a NC-431-00-8, Item 6.a.(2)-(4) NC1-431-81-1 Item 1.b
	Disposition Instruction
	Cutoff Instruction Cut off files upon withdrawal or cancellation of an application or when license is terminated.
	Retention Period Destroy 20 year(s) after Cutoff
	Additional Information
	GAO Approval Not Required
1.2	Approved Licensing Files - Non-Decommissioning
	Disposition Authority Number DAA-0431-2013-0002-0002
	Approved Project Files, Antitrust Case Files, Financial Assurance Files, New/Advanced Reactor Files, Decommissioning files, and other materials created or received in the process of overseeing the lifecycle of licensing. a. Licensing Docket Files Approved Project Files - Application Licensing files related to approved application for construction and/or licensing are filed with Docket Files and records retentions for Licensing Files are applied. Approved Project Files – Operation Licensing files related to the renewal operation are filed with Docket Files and records retentions for Licensing Files are applied. Approved Project Files –

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Renewal Licensing files related to the renewal operation are filed with Docket Files and records retentions for Licensing Files are applied. Antitrust Case Files Copies of license applications with antitrust information on applicant, and correspondence relating to the applicant's financial background. Files consist of copies of licensee applications with antitrust information on applicant, correspondence with the Office of the General Counsel and Department of Justice relating to findings on the applicant's financial background. Includes: • Financial Protection and indemnity Agreements • Bankruptcy Filing • Collection of Information under Oath or Affirmation • Property Damage/Accident Recovery Insurance • Annual Financial Report and Other Financial Requirements. Financial Assurance Files Case files containing copies of financial portions of license applications, staff papers, letters of interveners, letters from the Board, I & E Reports, Commissioners' Reports, and other docket-related documentation. Nuclear Power Plant Files Records documenting licensing of the construction and operation of commercial, research and military nuclear reactors. ACRS copies of official records documenting licensing of the construction and operation of commercial nuclear reactors for power generation including applicant case files, by docket numbers. Case files containing copies of license applications, staff papers, letters of interveners, letters from the Board, I & E Reports, Commissioners' Reports, and other docket-related documentation. Duplicate copies of nuclear power plant docket files. New/Advanced Reactor Project/docket files of NRO related to the licensing of new reactor designs. NRO copies of project/docket correspondence, hearing transcripts, inspection reports, audit plans and reports, and related correspondence not part of the official docket file. Records documenting review of licenses, certifications, and Permits for new or advanced nuclear reactors. Support records documenting licensing of the construction and operation of commercial nuclear reactors for power generation and non-power reactors pursuant to Parts 2,20, 50, 52, 54, 100, and 140 of Title 10, Code of Federal Regulations. Material consists of individual applicant case files, identified by assigned docket numbers, containing copies of all documents received or generated in review, evaluation, and authorization stages of: the licensing process. Each operating license issued is for a fixed time period specified in the license document but in no case exceeds 40 years. Licenses may be renewed by the NRC upon the expiration of the initially authorized operating period. Includes: • Thermal Annealing • Fracture and Toughness • Codes and Standards • Environmental Qualification of Electrical Equipment • Fire Protection • 11.1.5.1 NFPA 805 • Hydrogen Control Requirements • Emergency Core Cooling Systems (ECCS) • Design and Construction Deficiencies • Risk-Informed Technical Specifications • 4B • Other Risk-Informed Applications • Risk-Informed Inservice Inspections

Final Disposition	Temporary
Item Status	Withdrawn
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in	Yes

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electronic format(s) other than e-mail and word processing?

Do any of the records covered by this item exist as structured electronic data? **Yes**

GRS or Superseded Authority Citation
N1-431-00-8, Item 2
N1-431-00-8, Item 6.a(4)
N1-431-00-8, Item 6.b(4)
N1-431-00-8 Item 9.b(4)
N1-431-00-8, Item 11.a
N1-431-00-20, Item 11
N1-431-00-20, Item 11.d
NC1-431-81-1, Item 2
NC1-431-81-5, Item 4.6.20
NC1-431-81-5, Item 4.6.26
N1-431-00-8, Item 9.a(4)
N1-431-00-8, Item 9.b
N1-431-00-8, Item 9.d (4)
N1-431-00-9, Item 10
N1-431-00-16, Item 7
NC1-431-81-5, Item 3.10
NC1-431-81-5, Item 1.3.20.c
NC1-431-82-6, Item 1.3.10.d
NC1-431-92-2. Item 1.a

Disposition Instruction

Cutoff Instruction **Close file when application is withdrawn; at End of Committee; or if license is terminated.**

Retention Period **Destroy 20 year(s) after Cutoff**

Additional Information

GAO Approval **Not Required**

Approved Licensing Files - Decommissioning

Disposition Authority Number **DAA-0431-2013-0002-0003**

Licensing files related to the decommissioning operation are filed as part of the Docket Files, but are created and maintained as a separate document and record type. Includes: • Highly Enriched uranium (HEU) • Test and Experiments (non-Power)

Final Disposition **Permanent**

Item Status **Withdrawn**

Is this item media neutral? **Yes**

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Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	N1-431-00-20, Item 11 N1-431-00-20, Item 11.d NC1-431-92-2, Item 1.a
Disposition Instruction	
If this item has multiple sections, indicate here records to which this section apply	Non-electronic Textual Records
Cutoff Instruction	Close file when application is withdrawn; at End of Committee; or if license is terminated.
Transfer to the National Archives for Accessioning	Transfer to the National Archives 20 year(s) after File is closed.
Additional Information	
What will be the date span of the initial transfer of records to the National Archives?	Unknown N/A at this time.
How frequently will your agency transfer these records to the National Archives?	Every 20 Years
Operator Licensing Files	
Disposition Authority Number	DAA-0431-2013-0002-0004
Docket files documenting current and superseded licensing actions and related correspondence as required by 10 CFR Part 55 (Operators Licensing examinations for power and non-power reactors) for applicants and licensed reactor and senior reactor operators. Examination Packages documenting 10CFR55 Operators Licensing examinations. Case files documenting the licensing of process operators in reprocessing plants including new and/or renewal applications, including denial information. Latest applications and related correspondence, license, examinations, and results; all medical certificates and data; and all examiners reports. Superseded applications and related correspondence, licenses, examinations, and results; denial letters.	
Final Disposition	Temporary
Item Status	Withdrawn

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Records Schedule: DAA-0431-2013-0002

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation
NC1-431-000-8, Item 5.b (4)
NC1-431-000-8, Item 5.c (4)
NC1-431-00-13, Item 15.a
NC1-431-00-13, Item 15.b
NC1-431-00-20, Item 8.b
NC1-431-00-20, Item 8.c
NC1-431-81-5, Item 1.1.13
NC1-431-81-5, Item 4.6.19a
NC1-431-90-4, Item 1

Disposition Instruction

Cutoff Instruction Close file when operator is no longer licensed or when a licensed operator is no longer performing licensing duties.

Retention Period Destroy 10 year(s) after the file is closed

Additional Information

GAO Approval Not Required

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Reactor Licensing Systems

2.1

Reactor Program System (RPS)

Disposition Authority Number DAA-0431-2013-0002-0005

RPS supports the NRC mission and strategic goals by providing the capability for planning, scheduling, conducting, reporting, and analyzing inspection activities at nuclear power reactors and other facilities handling radioactive materials in the United States. It is used as a tool for implementing the policy and inspection guidance for Programs assigned to the NRC regional offices and assesses the effectiveness and uniformity of the Region's implementation of those programs. It is used to plan and schedule licensing and other regulatory activities and provides information supporting the NRC's license fee collection process for the facilities. RPS provides a concise record of activities associated with the regulation of power reactors by the NRC. RPS contains no unique records, and there is no public access to RPS. RPS supersedes and includes the previous Operator Licensing Tracking System (OLTS) which was originally developed to track applications and operator licenses and in preparing statistical reports. Information includes personal, medical, training, examination grades and license conditions, and terminations.

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Information managed within RPS, includes: 1) Staff Identity (Name, Organization, Actual Hour Data) 2) Licensee Identification Data • General information (Docket Number, Site and Unit, Location, Owner, Contacts) • Facility characteristics (e.g., Manufacturer, Licensee, Power Rating, Designer) • Licenses (Type, Expiration, Status) 3) Inspection Activities (Planning and Findings) • Inspection Procedures • Inspection Plans • Inspection Documents (Adams document references and dates) for Inspection Reports • Inspection Findings and History • Inspection Planning Cycle and • Licensee Performance Indicators Information

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? No

Explanation of limitation This is a system data and provides concise records.

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-431-08-18, Item 2

Disposition Instruction

Cutoff Instruction Decommissioning of system or termination of function.

Retention Period If RPS system is decommissioning in place of a successor system, delete RPS data no more than one year after verification that data was correctly transferred to the successor system. If RPS system is decommissioned because the function (licensing, oversight and inspection of nuclear materials) is terminated, delete the RPS data no more than one year after RPS is decommissioned.

Additional Information

GAO Approval Not Required

Reactor Vessel Integrity Database (RVID)

Disposition Authority Number DAA-0431-2013-0002-0006

The Reactor Vessel Integrity Database is an Access database which stores docketed data inputs of industry information and computed values based on these inputs. The information consolidates Reactor Pressure Vessel (RPV) integrity-related information obtained from licensee submittals in a convenient

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and accessible manner regarding the properties of reactor pressure vessel beltline materials for licensed reactor power plants. Additionally, the database has computational capability to validate the licensee's pressurized thermal shock (PTS) and embrittlement analyses. The RVID assists NRC staff in its evaluations of domestic Reactor Pressure Vessels and provides for simplified reviews of facilitating information important to evaluating RPV integrity. The official NRC records are contained in ADAMS or another currently approved record keeping system. RVID provides an industry-wide summary of this information.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? No

Explanation of limitation Provides an industry- wide summary of data in the database.

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

Cutoff Instruction Decommissioning of system or termination of function.

Retention Period If RVID system is decommissioning in place of a successor system, delete RVID data no more than one year after verification that data was correctly transferred to the successor system. If RVID system is decommissioned because the function (licensing, oversight and inspection of nuclear materials) is terminated, delete the RVID data no more than one year after RVID is decommissioned.

Additional Information

GAO Approval Not Required

Communications and Issuances

Generic Communications / Issuances

Disposition Authority Number DAA-0431-2013-0002-0007

Records to support communications with the nuclear industry on matters of generic applicability through the generic communications program. There are six types of generic communications currently in use: bulletin, generic letter, regulatory

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3.1

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issue summary, security advisory, Information Assessment Team advisory, and information notice.

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

GRS or Superseded Authority Citation NC1-431-81-5, Item 4.4.5

Disposition Instruction

Cutoff Instruction When superseded or obsolete.

Transfer to the National Archives for Accessioning Transfer to the National Archives 10 year(s) after Cutoff

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
N/A at this time.

How frequently will your agency transfer these records to the National Archives? Every 10 Years

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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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
12/19/2012	Certify	Deborah Armentrout	Records Officer	Nuclear Regulatory Commission - Office of Information Services
07/25/2017	Return Without Action	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services