

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: N1-431-00-003**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 1/31/2024

### **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These items, unless subsequently superseded, may be used by the agency to disposition records.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 items except those listed below are active.

### **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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 below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Items 2/A/2-5 were superseded by N1-431-03-001 / 2/A/2-5.

Items 2/B/2-5 were superseded by N1-431-03-001 / 2/B/2-5.

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIRA) WASHINGTON, DC 20408	
1. FROM (Agency or establishment) <b>U.S. Nuclear Regulatory Commission</b>	
2. MAJOR SUBDIVISION <b>Office of Incident Response Operations</b>	
3. MINOR SUBDIVISION	
4. NAME OF PERSON WITH WHOM TO CONFER <b>John Harris</b>	5. TELEPHONE <b>301-415-5885</b>

LEAVE BLANK (NARA use only)	
JOB NUMBER <b>N1-431-00-3</b>	
DATE RECEIVED <b>9/20/1999</b>	
NOTIFICATION TO AGENCY	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
DATE <b>12-20-01</b>	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</i>

6 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 10 page(s) are not now needed for the business of 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;  is attached; or  has been requested.

DATE <b>9/14/99</b>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Derek J. Hall</i>	TITLE <b>NRC Records Officer</b>
------------------------	--	-------------------------------------

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p><b>Agencywide Documents Access and Management System (ADAMS) Programmatic Records of the NRC Office of Incident Response Operations.</b></p> <p>ADAMS is an electronic information system that maintains the Nuclear Regulatory Commission's (NRC's) unclassified official programmatic and administrative records in a centralized electronic document repository. ADAMS is designed to meet all National Archives and Records Administration (NARA) regulations to ensure NARA approval of ADAMS as an official electronic recordkeeping system. Beginning <del>January</del> <sup>April</sup> 1, 2000, NRC headquarters and regional offices will no longer create or maintain paper-based record collections because the electronic documents in ADAMS will become the "official records" of the agency. The "official record" of documents maintained in ADAMS is a Portable Document Format (PDF) file or a Tagged Image File Format (TIFF) file with an associated document profile containing "filed" data to describe the document and its attributes. In addition, any electronic data related to a digital signature and/or electronic data that evidence final NRC management and staff concurrence in a document is linked to and considered part of the official record.</p> <p>Records disposition schedules for the NRC records maintained in ADAMS are divided into two broad groups:</p> <ol style="list-style-type: none"> <li>1) Programmatic records created or received by each individual NRC office</li> <li>2) Administrative records created or received by any NRC offices</li> </ol>		

This form was designed using InForms

*cc: Agency, NR, NURM, NURMD, NURME*

7.  
ITEM  
NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR  
SUPERSEDED  
JOB CITATION

10 ACTION  
TAKEN (NARA  
USE ONLY)

**The records disposition schedules for the administrative records series of all NRC offices are under development for later submittal to NARA.**

**The records disposition schedules for the programmatic records series of each NRC office will be submitted to NARA under separate SF 115 for each office.**

**This SF 115 pertains to the programmatic records of the NRC Office of Incident Response Operations.**

REQUEST FOR RECORDS DISPOSITION AUTHORITY		VE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <b>N1-431-00-3</b>	
1. FROM (Agency or establishment) <b>U.S. Nuclear Regulatory Commission</b>		DATE RECEIVED	
2. MAJOR SUBDIVISION <b>Office of Incident Response Operations</b>		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION		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	
4. NAME OF PERSON WITH WHOM TO CONFER <b>John Harris</b>	5. TELEPHONE <b>301-415-5885</b>		

6. 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 10 page(s) are not now needed for the business of 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;  is attached; or  has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
09/14/99	Brenda Jo. Shelton /S/; Revised 03/20/00	NRC Records Officer

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p>Agencywide Documents Access and Management System (ADAMS) Programmatic Records of the NRC Office of Incident Response Operations.</p> <p>ADAMS is an electronic information system that maintains the Nuclear Regulatory Commission's (NRC's) unclassified official programmatic and administrative records in a centralized electronic document repository. ADAMS is designed to meet all National Archives and Records Administration (NARA) regulations to ensure NARA approval of ADAMS as an official electronic recordkeeping system. Beginning April 1, 2000, NRC headquarters and regional offices will no longer create or maintain paper-based record collections because the electronic documents in ADAMS will become the "official records" of the agency. The "official record" of documents maintained in ADAMS is a Portable Document Format (PDF) file or a Tagged Image File Format (TIFF) file with an associated document profile containing "fielded" data to describe the document and its attributes. In addition, any electronic data related to a digital signature and/or electronic data that evidence final NRC management and staff concurrence in a document is linked to and considered part of the official record.</p> <p>Records disposition schedules for the NRC records maintained in ADAMS are divided into two broad groups:</p> <ol style="list-style-type: none"> <li>1) Programmatic records created or received by each individual NRC office</li> <li>2) Administrative records created or received by any NRC offices</li> </ol>		

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p>The records disposition schedules for the administrative records series of all NRC offices are under development for later submittal to NARA.</p> <p>The records disposition schedules for the programmatic records series of each NRC office will be submitted to NARA under separate SF 115 for each office.</p> <p>This SF 115 pertains to the programmatic records of the NRC Office of Incident Response Operations.</p>		

RECORDS OF THE OFFICE OF INCIDENT RESPONSE OPERATIONS  
PROGRAMMATIC RECORDS

	PAGE NO.
Item 1 Incident Response General Correspondence Files (Subject Files) . . . . .	4
Item 2 Emergency Planning Files . . . . .	7

ADAMS RECORDS SCHEDULES  
OFFICE OF INCIDENT RESPONSE OPERATIONS

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA- APPROVED CITATION</u>
1.	<p><u>Incident Response General Correspondence Files (Subject Files)</u></p> <p>Letters, memoranda, messages, studies, reports, forms, and other data documenting and/or implementing plans, policies, procedures, accomplishments, opinions, and decisions pertaining to Office of Incident Response Operations (IRO) programs and staff activities.</p> <p>a. Correspondence files that document policy-making decisions, significant management of IRO functions, and files documenting unusual occurrences or events that are determined by the Director, IRO, to be highly significant, or that result in significant changes in regulatory activities and procedures, are the subject of major Congressional investigations or hearings, or that will be of great interest to the public.</p>	<p><u>Permanent.</u> Cut off at close of fiscal year. Hold 2 years and retire to the Washington National Record Center through OCIO. OCIO will transfer to NARA when 20 years old.</p>	<p>TBD (Unscheduled) Schedule based on NC1-431-81-5 Item 1.2.15.a</p> <p>(NUREG-0910 NRCS 1-2.2.a)</p>
	<p>(1) Paper records created before 04/01/2000.</p>		

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION	
(2)	Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Destroy paper documents 2 months after creation of ADAMS electronic record.	TBD	
(3)	Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and ASCII files that remain with staff members and OCIO processing staff after creation of the ADAMS records. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD	
(4)	ADAMS PDF files and TIFF files.	<del>Permanent. Cut off electronic files at close of fiscal year. Convert image files to paper, microform, magnetic tape, 3480 class tape cartridge, or any other medium and format that meets NARA regulations found in Subchapter B of 36 CFR Chapter XII and transfer to NARA 2 years after cutoff. Prior to transfer, NARA and NRC will determine the medium and format in which the records will be transferred. Destroy NRC copy 18 years after transferring record to NARA.</del>	TBD	
<u>PERMANENT.</u> Cut-off electronic files at close of fiscal year. Transfer to the National Archives 2 years after cut-off. At the time of transfer, NARA and NRC will determine medium and format in which records will be transferred as well as their arrangement. Every effort will be made to transfer records electronically in accordance with the standards for permanent electronic records contained in 36 CFR 1228.270 or standards applicable at the time. If transfer in an electronic medium is not feasible, prior to transfer, with NARA concurrence, records will be converted to paper or to microform. Destroy NRC copy 18 years after transferring records to NARA.	(5)	ADAMS document profiles and ADAMS document packages created for the	<u>Permanent.</u> Cut off electronic files with related PDF files and TIFF files. Transfer to NARA	TBD



ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA- <u>APPROVED</u> <u>CITATION</u>
	management, search, and retrieval of the PDF files and TIFF files, and ADAMS data related to digital signatures, and data that evidence final NRC management and staff concurrences in documents that are linked to and considered part of the official records.	according to regulations found in 36 CFR § 1228.188 when the PDF files and TIFF files are transferred. Destroy NRC copy 18 years after transferring record to NARA.	
	b. Correspondence files that document routine IRO program development, management, and operational functions at all levels. Files include IRO copies of licensee event notification reports, event related NRC status summaries, and press releases.		
	(1) Paper records created before 04/01/2000.	Cut off at close of fiscal year. Hold 2 years and retire to the Washington National Record Center through OCIO. Destroy 10 years after cutoff.	TBD (Unscheduled) Schedule is based on NC1-431-81-5 Item 1.2.15.b  (NUREG-0910 NRCS 1-2.2.b)
	(2) Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Destroy paper documents 2 months after creation of ADAMS electronic record.	TBD
	(3) Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and ASCII files that remain with	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA-APPROVED CITATION</u>
-----------------	-------------------------------	-------------------------------	-------------------------------

staff members and OCIO processing staff after creation of the ADAMS records. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.

- (4) ADAMS PDF files and their linked native application source files; ADAMS TIFF files and their linked ASCII files; ADAMS document profiles and document packages; and ADAMS digital signature and concurrence data.

Cut off electronic files at close of fiscal year. Destroy 10 years after cutoff.

TBD

2. Emergency Planning Files

- a. Case Files accumulated in IRO, consisting of a record copy of each plan or directive issued, with related background papers.

- ~~(1) Paper records created before 04/01/2000.~~

~~Permanent. Cut off at close of fiscal year. Hold 2 years and retire to the Washington National Record Center through OCIO. OCIO will transfer to NARA when 20 years old.~~

~~NC1-431-81-1  
Item 3.a~~

~~(NUREG-0910  
NRCS 2-4.5.a)~~

- (2) Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.

Destroy paper documents 2 months after creation of ADAMS electronic record.

TBD

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA- APPROVED <u>CITATION</u>
(3)	Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and ASCII files that remain with staff members and OCIO processing staff after creation of the ADAMS records. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD
(4)	ADAMS PDF files and TIFF files.	<p><del>Permanent. Cut off electronic files at close of fiscal year. Convert image files to paper, microform, magnetic tape, 3480 class tape cartridge, or any other medium and format that meets NARA regulations found in Subchapter B of 36 CFR Chapter XII and transfer to NARA 2 years after cutoff. Prior to transfer, NARA and NRC will determine the medium and format in which the records will be transferred. Destroy NRC copy 18 years after transferring record to NARA.</del></p> <p><u>PERMANENT.</u> Cut-off electronic files at close of fiscal year. Transfer to the National Archives 2 years after cut-off. At the time of transfer, NARA and NRC will determine medium and format in which records will be transferred as well as their arrangement. Every effort will be made to transfer records electronically in accordance with the standards for permanent electronic records contained in 36 CFR 1228.270 or standards applicable at the time. If transfer in an electronic medium is not feasible, prior to transfer, with NARA concurrence, records will be converted to paper or to microform. Destroy NRC copy 18 years after transferring records to NARA.</p>	TBD
(5)	ADAMS document profiles and ADAMS document packages created for the management, search, and retrieval of the PDF files and TIFF files, and ADAMS data related to digital signatures, and data that	<u>Permanent.</u> Cut off electronic files with related PDF files and TIFF files. Transfer to NARA according to regulations found in 36 CFR § 1228.188 when the PDF files and TIFF files are transferred. Destroy NRC copy	TBD

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
	evidence final NRC management and staff concurrences in documents that are linked to and considered part of the official records.	18 years after transferring record to NARA.	
b.	Record set of NRC reports of operation tests accumulated in IRO, consisting of consolidated or comprehensive reports reflecting NRC-wide results of tests conducted under emergency plans.		
<del>(1)</del>	<del>Paper records created before 04/01/2000.</del>	<del><u>Permanent.</u> Cut off at close of fiscal year. Hold 2 years and retire to the Washington National Record Center through OCIO. OCIO will transfer to NARA when 20 years old.</del>	<del>NC1-431-81-1 Item 3.b (NUREG-0910 NRCS 2-4.5.b)</del>
(2)	Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Destroy paper documents 2 months after creation of ADAMS electronic record.	TBD
(3)	Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and ASCII files that remain with staff members and OCIO processing staff after creation of the ADAMS records. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus,	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
	InForms, e-mail, etc.) and electronic records received from outside the agency.		
(4)	<p>ADAMS PDF files and TIFF files.</p> <p><u>PERMANENT.</u> Cut-off electronic files at close of fiscal year. Transfer to the National Archives 2 years after cut-off. At the time of transfer, NARA and NRC will determine medium and format in which records will be transferred as well as their arrangement. Every effort will be made to transfer records electronically in accordance with the standards for permanent electronic records contained in 36 CFR 1228.270 or standards applicable at the time. If transfer in an electronic medium is not feasible, prior to transfer, with NARA concurrence, records will be converted to paper or to microform. Destroy NRC copy 18 years after transferring records to NARA.</p>	<p><del>Permanent. Cut off electronic files at close of fiscal year. Convert image files to paper, microform, magnetic tape, 3480 class tape cartridge, or any other medium and format that meets NARA regulations found in Subchapter B of 36 CFR Chapter XII and transfer to NARA 2 years after cutoff. Prior to transfer, NARA and NRC will determine the medium and format in which the records will be transferred. Destroy NRC copy 18 years after transferring record to NARA.</del></p>	TBD
(5)	ADAMS document profiles and ADAMS document packages created for the management, search, and retrieval of the PDF files and TIFF files, and ADAMS data related to digital signatures, and data that evidence final NRC management and staff concurrences in documents that are linked to and considered part of the official records.	<p><u>Permanent.</u> Cut off electronic files with related PDF files and TIFF files. Transfer to NARA according to regulations found in 36 CFR § 1228.188 when the PDF files and TIFF files are transferred. Destroy NRC copy 18 years after transferring record to NARA.</p>	TBD