



REQUEST FOR RECORD DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-431-00-6	
1 FROM (Agency or establishment) U.S. Nuclear Regulatory Commission		DATE RECEIVED 9/17/1999	
2. MAJOR SUBDIVISION Office of the Executive Director for Operations		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER John Harris	5 TELEPHONE 301-415-5885	DATE 12-28-01	ARCHIVIST OF THE UNITED STATES 

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 <u>14</u> 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, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.		
DATE 9/13/99	SIGNATURE OF AGENCY REPRESENTATIVE 	TITLE 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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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 the Executive Director for 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 January 1, 2000 April 1, 2001, 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> <p>1) Programmatic records created or received by each individual NRC office</p> <p>2) Administrative records created or received by any NRC offices</p>		

REQUEST FOR RECORDS DISPOSITION AUTHORITY -- CONTINUATION

JOB NUMBER

PAGE

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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 the Executive Director for Operations.</p>		

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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 John Harris	5. TELEPHONE 301-415-5885		
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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 14 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,		
<input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.		
DATE 9/13/99	SIGNATURE OF AGENCY REPRESENTATIVE Brenda Jo. Shelton <i>/s/</i> ; Revised 03/20/00	TITLE NRC Records Officer

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RECORDS OF THE OFFICE OF THE EXECUTIVE DIRECTOR FOR OPERATIONS
PROGRAMMATIC RECORDS

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Item 3 General Program Correspondence Files (Subject Files)	10

ADAMS RECORDS SCHEDULES
OFFICE OF THE EXECUTIVE DIRECTOR FOR OPERATIONS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
1.	<u>Committee and Conference Records</u>		
a.	Records relating to establishment, organization, membership and policy of interagency, intra-agency and international committees and conferences, and agenda, minutes, final reports, and related records documenting accomplishments created by committees and conferences when NRC is the sponsoring agency. <i>Excluding routine internal committee and conference records covered by GRS R.B.</i>		
(1)	Paper records created before 04/01/2000.	<u>Permanent</u> . Cut off when NRC involvement terminates. OCIO will transfer to NARA 10 years after cutoff.	Supersedes: NC1-431-81-5 Item 1.5.30.a.1 (NUREG-0910 NRCS 1-2.1.a.1), NC1-431-81-5 Item 1.5.30.a.2 (NUREG-0910 NRCS 1-2.1.a.2), and NC1-431-81-5 Item 1.5.30.b.1.a (NUREG-0910 NRCS 1-2.1.b.1.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.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
(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.	<u>Permanent.</u> Cut off electronic files when NRC involvement terminates. 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 8 years after transferring record to NARA.	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	<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

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA-APPROVED CITATION</u>
	signatures, and data that evidence final NRC management and staff concurrences in documents that are linked to and considered part of the official records.	8 years after transferring record to NARA.	
b.	Agenda, minutes, final reports, and related records documenting accomplishments created by committees and for conferences when NRC is not the sponsoring agency.		
(1)	Paper records created before 04/01/2000.	Destroy when 3 years old or earlier if no longer needed for reference.	Supersedes: NC1-431-81-5 Item 1.5.30.b.1.b (NUREG-0910 NRCS 1-2.1.b.1.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 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	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>
	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 upon termination of committee. Destroy 3 years after cutoff.	TBD
c.	All other records created by committees regardless of whether NRC is the sponsor agency, excluding the agenda, minutes, final reports and related records described in Item a, above.		
	(1) Paper records created before 04/01/2000.	Destroy when 3 years old or earlier if no longer needed for reference.	Supersedes: NC1-431-81-5 Item 1.5.30.b.2 (NUREG-0910 NRCS 1-2.1.b.2)
	(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	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
	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 upon termination of committee. Destroy 3 years after cutoff.	TBD
2.	<u>EDO Action Item Files</u> EDO Action Item Files (Green Ticket Items and EDO Work Item Tracking System Items) consisting of action tickets, incoming correspondence, responses including copies of responses made by other offices, enclosures to responses, pertinent background information and all related documents for each EDO Action Item assigned. Files include those assigned to and completed by the EDO, the Commission, or other NRC office.		
a.	Paper records created before 04/01/2000.	<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.	TBD

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
b.	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
c.	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
d.	ADAMS PDF files and TIFF files.	<u>Permanent.</u> 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 8 years after transferring record to NARA.	TBD
	<u>PERMANENT.</u> Cut-off electronic files at close of fiscal year, in which issued. 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 8 years after transferring records to NARA.		
e.	ADAMS document profiles and ADAMS document packages created for the management, search, and retrieval of the PDF files and TIFF files, and	<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	TBD

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
	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.	PDF files and TIFF files are transferred. Destroy NRC copy 8 years after transferring record to NARA.	
3.	<u>General Program Correspondence Files (Subject Files)</u> Letters, memoranda, messages, studies, reports, forms, and other data documenting and/or implementing plans, policies, procedures, accomplishments, opinions, and decisions pertaining to Office of the Executive Director for Operations (OEDO) program and staff activities. a. <u>Program Correspondence Files at the Office Director Level.</u> Files that document policy-making decisions or significant OEDO program management functions that are signed by or addressed to the EDO and Deputy EDOs. Excluded is program correspondence that documents routine transactions for which the record content is summarized or duplicated in higher level documents. (See item c. below.)		
	(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.	NC1-431-81-5 Item 1.2.15.a (NUREG-0910 NRCS 1-2.2.a)

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	(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. <u>PERMANENT.</u> Cut-off electronic files at close of fiscal year. in which issued. 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 8 years after transferring records to NARA.	<u>Permanent.</u> 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 8 years after transferring record to NARA.	TBD
	(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

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	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 8 years after transferring record to NARA.	
b.	<u>Program Correspondence Files Created or Received Below the Office Director Level.</u>		
	Files that document policy making decisions, significant or OEDO program management functions and program operations. They are signed by or addressed to EDO management and staff below the EDO and Deputy EDO level. Excluded is program correspondence that documents routine transactions for which the record content is summarized or duplicated in higher level documents. (See item c. below.)		
(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.	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

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	(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 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
c.	<u>Routine Program</u> <u>Correspondence Files Created or Received at All Organizational Levels.</u> Files documenting program transactions of a routine or recurring nature, the record content of which is summarized or duplicated in Item a. or b. above.		
(1)	Paper records created before 04/01/2000.	Destroy when 2 years old, or sooner if purpose has been served.	NC1-431-81-5 Item 1.2.15.c

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			(NUREG-0910 NRCS 1-2.2.c)
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(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 2 years after cutoff.	TBD