

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-431-00-019

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Items 1/B, 1/C, 1/E, 2/B, 2/C and 2/E were superseded by N1-431-08-015 / 1.

REQUEST FOR RECORDS DISPOSITION AUTHORITY		BLANK (NARA use only)	
TO. NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>NI-431-00-19</i>	
1 FROM (Agency or establishment) U.S. Nuclear Regulatory Commission		DATE RECEIVED <i>12-20-99</i>	
2 MAJOR SUBDIVISION Office of Nuclear Regulatory Research		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 Jeff Bartlett	5 TELEPHONE 301-415-6466	DATE <i>12-28-01</i>	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 45 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 <i>12/19/99</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Brenda Jo. Shelton</i> Brenda Jo. Shelton ISI	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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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 Nuclear Regulatory Research</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, 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"> 1) Programmatic records created or received by each individual NRC office 2) Administrative records created or received by any NRC offices <p><i>cc: Agency, NAWMD, NR, NURME, NURMWA</i></p>		

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 Nuclear Regulatory Research.</p>		

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-431-00-19	
1. FROM (Agency or establishment) U.S. Nuclear Regulatory Commission		DATE RECEIVED	
2. MAJOR SUBDIVISION Office of Nuclear Regulatory Research		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 Jeff Bartlett	5. TELEPHONE 301-415-6466		

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 45 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 12/09/99	SIGNATURE OF AGENCY REPRESENTATIVE Brenda Jo Shelton /SI, Revised 03/24/00	TITLE NRC Records Officer

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDE D JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p>Agencywide Documents Access and Management System (ADAMS) Programmatic Records of the NRC Office of Nuclear Regulatory Research</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"> 1) Programmatic records created or received by each individual NRC office 2) Administrative records created or received by any NRC offices 		

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 Nuclear Regulatory Research.</p>		

RECORDS OF THE OFFICE OF NUCLEAR REGULATORY RESEARCH
PROGRAMMATIC RECORDS

PAGE NO.

Item 1	Abnormal Occurrence Case Files	4
Item 2	Case Study Report Files.	5
Item 3	Committee and Conference Records.	7
Item 4	Committee to Review Generic Requirements (CRGR) Files.	11
Item 5	Formal Arrangement and Agreement Files.	13
Item 6	General Program Correspondence Files (Subject Files)	15
Item 7	Grants Files	19
Item 8	Nuclear Safety Standards Program Files. a	24
Item 9	Personnel Monitoring Report Files. a	28
Item 10	Regulatory History Files for Proposed and Final Rulemaking	33
Item 11	Rejected Research Project Proposals. a	35
Item 12	Research Program Files.	36
Item 13	Research Project Case Files	38
Item 14	Scientific and Technical Reports a a a	42

ADAMS RECORDS SCHEDULES
OFFICE OF NUCLEAR REGULATORY RESEARCH

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA-APPROVED CITATION
1.	<u>Abnormal Occurrence Case Files</u>		
	All formal correspondence with detailed background documentation relating to preparation of abnormal occurrence reports submitted quarterly to Congress.		
a.	Paper records created before 04/01/2000.	Permanent. Cut off files every 3 years and retire to Washington National RecordCenter. Transfer to NARA when 20 years old.	NI-431-87-1 Item 1 (NUREG-0910 NRCS 2.4.1)
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 when 3 years old. Convert image files to paper, microform, magnetic tape, 3480 class tape cartridge, or any other medium	TBD

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

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.

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 15 years after transferring record 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 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.

Permanent. 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 15 years after transferring record to NARA.

TBD

2. Case Study Report Files

Copies of reports with all background documentation providing detailed information on formal evaluations of events with the highest potential risk to the public as identified by prior screening of Licensee Event Reports (LERs) by Office of Nuclear Regulatory Research (RES) engineers. Arranged numerically by case study number.

ITEM	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA-APPROVED CITATION
a.	Paper records created before 04/01/2000.	Permanent. Transfer to NARA when 20 years old.	NC1-431-81-5 Item 4.1.2 (NUREG-0910 NRCS-2-4.4)
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.	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.	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.		

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA-APPROVED CITATION
e.	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.	<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.	TBD
3.	<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.		
	(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.	NC1-431-81-5 Item 1.5.30.a.1
			(NUREG-0910 NRCS 1-2.1.a.1)
			Supersedes: NC1 431-81-5 Item 1.5.30.a.2
			(NUREG-0910 NRCS 1-2.1.a.2)

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA-APPROVED CITATION
			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
	(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.	Permanent. 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 cut off. Prior to transfer, NARA and	TBD
	<u>PERMANENT.</u> Cut-off electronic files when NRC involvement terminates. 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.		

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA-APPROVED CITATION
	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.	NRC will determine the medium and format in which records will be transferred. Destroy NRC copy 8 years after transferring record to NARA.	
	(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.	<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 8 years after transferring record to NARA.	TBD
	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.	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	Destroy after creation of ADAMS electronic record or when no longer needed for	TBD

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA-APPROVED CITATION</u>
	(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.	reference or updating, whichever is later.	
	(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.	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

ITEMa	<u>NO. DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA- <u>APPROVED</u> <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 area 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 TIFFa 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
4.	<u>Committee to Review Generic Requirements (CRGR) Files</u>		
	Case files documenting CRGR reviews of proposed rulemakings and other generic NRC regulatory requirements. Records include requests for reviews, meeting agendas, issue sheets and other background information, meeting minutes, member comments, recommendations, documentation of final actions, bulletins to licensees, and related correspondence. Case files are arranged by meeting date.		

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
a.	Paper records created before 04/01/2000.	<u>Permanent.</u> Cut off meeting case files at the close of the fiscal year in which meeting occurred. Retire to the Washington National Record Center 5 years after cutoff. . Transfer to NARA 20 years after cutoff.	TBD (Unscheduled)
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	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 8 years after transferring records to NARA.		

NARA-
APPROVED
CITATION

AUTHORIZED DISPOSITION

DESCRIPTION OF RECORDS

ITEM
NO.

will be transferred. Destroy
NRC copy 8 years after
transferring record to NARA

TBD

Permanent. 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
8 years after transferring record
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
ADAMS data related to digital
signatures, and data that
evidence final NRC
Management and staff
concurances in documents that
are linked to and considered part
of the official records.

5. Formal Arrangement and Agreement

Files

Signed bi-lateral arrangement
documents and original or certified
copies of research agreements with
foreign governments or other
foreign organizations. Arranged
alphabetically by name of foreign
country.

a. Paper records created prior to
04/01/2000, and signed bi-
lateral arrangement documents
and research agreements in
paper format created after that
date.

b. Paper records used as the source
to create ADAMS electronic bit-
mapped image files and ASCII
files.

c. Copies of electronic files stored
outside of ADAMS used to
create ADAMS PDF files, bit-

Permanent. Cut off file when
arrangement expires. Offer to
NARA 10 years after expiration
of arrangement.
(Reference
NCI-431-81-5
Item 4.5.15)

TBD

Return to Official File Station
for maintenance and disposition
in accordance with item 5.1,
above after ADAMS processing.

TBD

Destroy after creation of
ADAMS electronic record or
when no longer needed for

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
	<p>mapped image 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.</p>	<p>reference or updating, whichever is later.</p>	
<p>d. ADAMS PDF files and TIFF files.</p>	<p><u>PERMANENT.</u> Cut-off electronic files upon revocation or termination of agreement. 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.</p>	<p><u>Permanent.</u> Cut off electronic files upon revocation or termination of agreement. 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.</p>	<p>TBD</p>
<p>e. 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>	<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 8 years after transferring record to NARAa</p>	<p>TBD</p>	

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
6.	<u>General Program Correspondence Files (Subject Files)</u>		
	Letters, memoranda, messages, studies, reports, forms, and other data documenting and/or implementing plans and policies, procedures, accomplishments, opinions, and decisions pertaining to Office of Nuclear Regulatory Research (RES) program and staff activities.		
	a. <u>Program Correspondence Files at the Office Director Level.</u>		
	Files that document policy-making decisions or significant RES program management functions that are signed by or addressed to the RES Director or Deputy Director. 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.	NC4-431-81-5 Item 1.2.15.a (NUREG-0910 NRCS 1-2.2.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 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. when NRC involvement terminates. 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.		
(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.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA- <u>APPROVED</u> <u>CITATION</u>
	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. <u>Program Correspondence Files Created or Received Below the Office Director Level.</u>	Files that document policy making decisions, significant RES program management functions and program operations. They are signed by or addressed to RES management and staff below the Office Director 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
(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

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
-------------	------------------------	------------------------	-------------------------------

staff members and OCIO processing staff after creation of the ADAMS records. Included area 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

c. Routine Program Correspondence Files Created or Received at All Organizational Levels.

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~~

~~(NUREG-0910
NRCS 1-2.2.c)~~

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

7. Grants Files

- a. Case files of contracts, reports, studies, agreements, correspondence, and other records relating to receipt, award, and monitoring of grants.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
(1)	Paper records created before 04/01/2000.	Destroy 6 years and three months after case is closed.	NCa-431-81-5 Item 1.5.33.a (NUREG-0910 NRCS 2-21.3.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
(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 when case is closed. Destroy 6 years and three months after cutoff.	TBD
b.	Reports, books, studies, or any other final grant product and related records.		

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA-APPROVED CITATION
(1)	Paper records created before 04/01/2000.	<u>Permanent.</u> Transfer to NARA when 10 years old.	NCA-431-81-5 Item 1.5.33.b (NUREG-0910 NRCS 2-21.3.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 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. 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	TBD
	<u>PERMANENT.</u> Cut-off electronic files at close of fiscal year. when NRC involvement terminates 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.		

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
		NRC will determine the medium and format in which the records will be transferred. Destroy NRC copy 8 years after transferring record to NARA.	
	(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.	<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 8 years after transferring record to NARA.	TBD
	c. Unsuccessful grant application files consisting of applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications.		
	(1) Paper records created before 04/01/2000.	Destroy 3 years after rejection or withdrawal.	GRS 3-13 (NUREG-0910 NRCS 2-21.3.c)
	(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	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA- APPROVED <u>CITATION</u>
	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.		
	(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 3 years after cutoff.	TBD
	d. Grant administrative files consisting of correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.		
	(1) Paper records created before 04/01/2000.	Destroy when 2 years old.	GRS 3-14 (NUREG-0910 NRCS 2-21.3.d)
	(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 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 end of fiscal year. Destroy 2 years after cutoff.	TBD
8.	<u>Nuclear Safety Standards Program Files</u>		
a.	Records accumulated in connection with the development of nuclear safety standards and guides pertaining to the siting of suitable location, design of nuclear power plants, etc. Included are draft standards and guides, comments from staff offices and the public, and related records. Standards are		

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
	formally published as NRC Regulations, NUREGS, Guides, or Technical Specifications, which are retained permanently in microfiche form. See NRCS 2, Part 14, Item 8.a.(2).		
(1)	Paper records created before 04/01/2000.	Destroy when 20 years old.	NC1-431-81-5 Item 4.9.37 (NUREG-0910 NRCS 2-21.7)
(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 their linked native application source files; ADAMS TIFF files and their linked ASCII	Cut off electronic files at end of fiscal year. Destroy when 20 years old.	TBD

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
	files; ADAMS document profiles and document packages; and ADAMS digital signature and concurrence data.		
b.	Record copy of nuclear safety standards and guides pertaining to the siting of suitable location, design of nuclear power plants, etc. Standards are formally published as NRC Regulations, NUREGS, Guides, or Technical Specifications.		
(1)	Paper records created before 04/01/2000.	Permanent. Transfer to NARA when 20 years old.	Supersedes NC1-431-81-5 Item 1.5.36.a.(1) (NUREG-0910 NRCS 2-14.8.a.(1))
(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	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
	<p>automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.</p>		
	(4) ADAMS PDF files and TIFF files.	<p><u>Permanent.</u> Cut off electronic files at end 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.</p>	TBD
	<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>		
	(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

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA-APPROVED CITATION
9.	<u>Personnel Monitoring Report Files</u>		
	<p>Personnel monitoring reports and related information consisting of reports of individual monitoring from licensees required under 10 CFR Part 20. Documents consist of annual personnel monitoring reports and periodic reports of overexposures including NRC Form 5, the information from which is maintained on magnetic tapes accessed using the Radiation Exposure Information Reporting System (REIRS) at Oak Ridge National Lab.</p>		
	<p>a. Personnel monitoring reports and personnel overexposure reports submitted by licensees, from which all data are entered into the Radiation Exposure Information System (REIRS).</p>		
	<p>(1) Paper records created before 04/01/2000.</p>	<p>Destroy 2 years after data are input into REIRS.</p>	<p>NC1-431-89-6 Item 1.a (NUREG-0910 NRCS 2-21.8.a)</p>
	<p>(2) Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.</p>	<p>Destroy paper documents 2 months after creation of ADAMS electronic record.</p>	<p>TBD</p>
	<p>(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.</p>	<p>Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.</p>	<p>TBD</p>

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
	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 end of fiscal year. Destroy 2 years after cutoff.	TBD
b.	Personnel monitoring reports and personnel overexposure reports that are not placed in the REIRS or of which only selected data are entered into REIRS.		
(1)	Paper records created before 04/01/2000.	Permanent. Cut off at end of fiscal year. Retire to Washington National Record Center in 5 year blocks. Transfer to NARA when 20 years old.	NC1-431-89-6 Item 1.b (NUREG-0910 NRCS 2-21.8.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	Destroy after creation of ADAMS electronic record or when no longer needed for	TBD

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
	(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.	reference or updating, whichever is later.	
	(4) ADAMS PDF files and TIFF files.	Cut off electronic files at end 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.	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 management, search, and retrieval of the PDF files and TIFF files, and ADAMS data related to digital signatures, and data that evidence final NRC	<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.	TBD

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA-APPROVED CITATION
	Management and staff concurrences in documents that are linked to and considered part of the official records.		
c.	Electronic records of personnel monitoring report data, 1978-present (maintained at Oak Ridge National Laboratory). (Reference NRCS 2-21.12 "REIRS System.")	<u>Permanent.</u> Transfer data copy immediately on magnetic tape according to NARA technical requirements. Transfer revised data copies to the NARA every 5 years.	N1-431-89-6 Item 1.c (NUREG-0910 NRCS 2-21.8.c)
d.	REIRS system programming and documentations		
(1)	Paper records created before 04/01/2000.	<u>Permanent.</u> Transfer to NARA on an ongoing basis in conjunction with item 9ca	NC1-431-89-6 Item 1.d (NUREG-0910 NRCS 2-21.8.d)
(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	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
	automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.		
	(4) ADAMS PDF files and TIFF files.	<u>Permanent.</u> Cut off electronic files at end 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.	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 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.	<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.	TBD

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA-APPROVED CITATION
10.	<u>Regulatory History Files for Proposed and Final Rulemaking</u>		
	Case files documenting proposed and final rulemakings. Contents include interoffice correspondence, all source documents relied upon to prepare proposed and final rules, public comments, Committee to Review Generic Requirements (CRGR) minutes and recommendations, Advisory Committee on Reactor Safeguards comments, Commission papers, transcripts, indexes, and <i>Federal Register</i> Notices.		
	a. Official case files created by the RES.		
	(1) Paper records created before 04/01/2000.	Permanent. Cut off when regulation is issued through notice in the <i>Federal Register</i>. OCIO will transfer to NARA in 5-year blocks when the earliest closed case file is 25 years old and the most recent case file is 20 years old.	NC1-431-85-1 Item 1.a (NUREG-0910 NRCS 1-2.3.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
	(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	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
	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 TIFF files.	<u>Permanent.</u> Cut off electronic files when regulation is issued through notice in the <i>Federal Register</i>. 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 when final regulation is issued through notice in the <i>Federal Register</i> . 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 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.	<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 8 years after transferring record to NARA.	TBD

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA-APPROVED CITATION
11.	<u>Rejected Research Project Proposals</u>		
	All proposals for research projects consisting of unsolicited contract proposals from individuals and organizations which were not funded by NRC.		
	a. Paper records created before 04/01/2000.	Destroy 2 years after disapproval of funding.	N1-43d-89-5 Item 2
			(NUREG-0910 NRCS 2-21.14)
	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 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 disapproval of funding. Destroy 2 years after cutoff.	TBD

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA-APPROVED CITATION
12.	<u>Research Program Files</u>		
	Records consisting of documents, data, and correspondence relating to the formulation, planning, direction, review, and evaluation of research in major program areas.		
	a. Documents generated, received, signed, or maintained at the Office Director level.		
	(1) Paper records created before 04/01/2000.	Permanent. Cut off files annually and retire to OCIO when 2 years old. Transfer to NARA when 20 years old.	N1-434-89-5 Item 3.a (NUREG-0910 NRCS 2-21-12.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
	(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

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA-APPROVED CITATION
(4)	ADAMS PDF files and TIFF files.	<p><u>Permanent</u>. Cut off electronic files annually. 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.</p>	TBD
	<p><u>PERMANENT</u>. Cut-off electronic files annually. 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>		
(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
b.	Documentation at the division level and below.		
(1)	Paper records created before 04/01/2000.	Cut off files annually. Destroy 10 years after cutoff.	N1-431-89-5 Item 3.b
			(NUREG-0910 NRCS 2-21-12.b)

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

13. Research Project Case Files

Technical documents, memoranda, monthly or quarterly highlight reports, program reports, status reports, management letters, original of tracings of drawings,

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA- APPROVED <u>CITATION</u>
	specifications, and duplicate photographs of completed products, or apparatus, and references pertinent to a project maintained by the project manager.		
a.	Case files deemed by the NRC or NARA to have exceptional value because of the highly significant nature of the research involved or uniqueness of the case file. Included are files that (1) show development of new and significant techniques, (2) relate to new and significant methodology and materials, (3) were the subject of Congressional investigation or came under intensive public scrutiny, (4) result in judicial decisions or legislative activities affecting the functions and activities of the NRC, or (5) result in significant changes in regulatory activities and functions of the NRC.		
	(1) Paper records created before 04/01/2000.	<u>Permanent.</u> Cut off files after completion or termination of the project and retire to OCIO when 2 years old. Transfer to NARA in annual blocks when 20 years old.	N1-431-89-5 Item 4.a (NUREG-0910 NRCS 2-21-13.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
	(3) Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format	Destroy after creation of ADAMS electronic record or when no longer needed for	TBD

ITEM	<u>NO.</u> <u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA- <u>APPROVED</u> <u>CITATION</u>
	(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.	reference or updating, whichever is later.	
	(4) ADAMS PDF files and TIFF files.	<u>Permanent.</u> Cut off electronic files upon completion or termination of the project. 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.	TBD
	<u>PERMANENT.</u> Cut-off electronic files upon completion or termination of the project. 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		
	(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	<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.	TBD

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA-APPROVED CITATION</u>
	Management and staff concurrences in documents that are linked to and considered part of the official records.		
b.	All other case files.		
(1)	Paper records created before 04/01/2000.	Destroy when 20 years old.	N1-431-89-5 Item 4.b (NUREG-0910 NRCS 2-21.13.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 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	Cut off electronic files upon completion or termination of the project. Destroy when 20 years old.	TBD

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA-APPROVED CITATION
	files; ADAMS document profiles and document packages; and ADAMS digital signature and concurrence data.		
14.	<u>Scientific and Technical Reports</u>		
	These are published and unpublished scientific and technical reports, as defined in NRC Management Directive 3.8.		
	a. Record copy officially designated by the originating NRC office or contractor.		
	(1) Published reports.		
	(a) Paper records created before 04/01/2000.	Permanent. Transfer to NARA when 10 years old.	NCa-431-81-5 Item 4.8.28.a.1 (NUREG-0910 NRCS 2-21.14.a.1)
	(b) Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) 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	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD

ITEM	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
	<p>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.</p>		
	(d) ADAMS PDF files and TIFF files.	<p>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 8 years after transferring record to NARA.</p>	TBD
	<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 8 years after transferring records to NARA.</p>		
	(e) 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 8 years after transferring record to NARA.</p>	TBD

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA-APPROVED CITATION
(2)	Unpublished reports.		
(a)	Paper records created before 04/01/2000.	<u>Permanent.</u> Cut off files at close of fiscal year. Transfer to NARA in annual blocks when 20 years old.	N1-431-81-5 Item 4.8.28.a.2 (NUREG-0910 NRCS 2-21.14.a.2)
(b)	Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) 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. 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.	<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.	TBD

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