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| REQUEST FOR RECORDS DISPOSITION AUTHORITY | | LEAVE BLANK (NARA use only) | |
| TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408 | | JOB NUMBER <i>NI-431-01-1</i> | |
| 1. FROM (Agency or establishment) U.S. Nuclear Regulatory Commission | | DATE RECEIVED <i>11/20/00</i> | |
| 2. MAJOR SUBDIVISION Office of Investigations | | 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 | |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 John Harris | 5. TELEPHONE 301-415-5885 | DATE <i>6-28-01</i> | ARCHIVIST OF THE UNITED STATES <i>[Signature]</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 2 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.

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| DATE <i>11/20/00</i> | SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i> Brenda Jo. Shelton, Revised 12/19/00 | TITLE NRC Records Officer |
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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 GRS OR SUPERSEDED JOB CITATION | 10.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) |
|------------|--|---|----------------------------------|
| 1 | <p>This schedule covers text records of the Nuclear Regulatory Commission (NRC) that pertain to Investigation Case File records within the Office of Investigations. NRC will maintain the records in paper form and not in the Agencywide Documents Access and Management System due to their sensitivity.</p> <p><u>Investigation Case Files</u></p> <p>Official case files documenting investigations of licensees, applicants, contractors, or vendors and any wrongdoing by individuals other than NRC employees and NRC contractors. Files include statements, interviews, support information relating to the investigation, interim reports and the reports of investigation. Files also include evidence files and chain of custody records. Records are created in the regional field offices and transferred to headquarters for final processing.</p> <p>a. Official case files created by field investigators and maintained at regional field offices that are selected by NRC because they meet one or more of the following criteria:</p> <ul style="list-style-type: none"> - Received wide attention from the news media; - Was of significant interest to Congress, the White House, or NRC Commissioners; - Was involved in extensive litigation; - Was involved in a major policy discussion and/or change in the Office of Investigations or in the Nuclear Regulatory Commission as a whole; and <p><i>cc: Agency, NWMD, NR</i></p> | Supersedes NC1-431-83-6, Item 2.a to clarify headquarters and field guidance. Also changes initial transfer date from year 2002 to year 2012. | |

8/16/01

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| | <p>- Prompted significant changes in designs or procedures by or relating to the nuclear industry.</p> <p><u>Permanent.</u> Cut off files when case is closed. Hold in field office for 6 months then forward to headquarters for processing. Headquarters will combine with its files, hold for 2 years, then retire to Washington National Record Center (WNRC). NRC will select cases for archival retention before retiring records to WNRC, using criteria listed above. The cases selected between 1984 and 1992 will be transferred to NARA in 2012 and subsequent 10 year blocks will be transferred at 10 year intervals thereafter.</p> <p>b. Other official case files created by field investigators and maintained at regional field offices that do not meet the criteria for permanent retention.</p> <p>Cut off files when case is closed. Hold in field office for 6 months then forward to headquarters for processing. Headquarters will combine with its files, hold for 2 years, then retire to Washington National Record Center (WNRC) through OCIO. Destroy 20 years after cases are closed.</p> <p>c. Headquarter's copy.</p> <p>Cut off files when case is closed. Combine with the field office files and process in accordance with items a and b, above.</p> <p>d. Electronic records created or received used as the source to create paper records that are filed in the investigation files. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus, InForms, E-mail, etc.) and electronic records received internally and from outside the agency.</p> <p>Create paper record of the electronic document on the day created or received or as soon as practical and file in appropriate official files. Destroy electronic version immediately after creating official record copy or when no longer needed for reference or updating, <i>whenever is later.</i></p> | <p>(NUREG-0910 NRCS 2-17.2.a)</p> <p>Supersedes NC1-431-83-6 Item 2.b to clarify headquarters and field guidance. Also to increase retention from 10 years to 20 years.</p> <p>(NUREG-0910 NRCS 2-17.2.b)</p> <p>Supersedes NC1-431-83-6, Item 2.c to clarify that headquarter's files are combined with the files transferred from the field.</p> <p>(NUREG-0910 NRCS 2-17.2.b)</p> | |

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