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|---|---------------------------------|---|---|
| REQUEST FOR RECORDS DISPOSITION AUTHORITY | | LEAVE BLANK (NARA Use Only) | |
| TO NATIONAL ARCHIVES AND RECORDS ADMINISTRATION WASHINGTON, DC 20408 | | JOB NUMBER <i>NI-431-08-8</i> | |
| 1 FROM (Agency or establishment) U S. Nuclear Regulatory Commission | | DATE RECEIVED <i>5/21/08</i> | |
| 2 MAJOR SUBDIVISION or PROGRAM Office of Federal and State Materials and Environmental Management Programs (FSME) | | 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 | |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 Deborah H Armentrout, CRM | 5 TELEPHONE 301-415-7228 | DATE <i>11/3/08</i> | ARCHIVIST OF THE UNITED STATES <i>Allen W...</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 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>4/21/08</i> | SIGNATURE OF AGENCY REPRESENTATIVE <i>Margaret A. Janney</i> Margaret A Janney, CRM/NS | 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| 7 Item No | 8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9 GRS or Superseded Job Citation | 10 Action Taken (NARA Use Only) |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>Title: Reciprocity Tracking System (RTS)</p> <p>(See Attached Schedule)</p> <p><i>Joseph Hofmanich</i> <i>Apr 29, 2008</i> FSME PMDA Director Date</p> <p><i>Trump Peterson</i> <i>4/23/08</i> Office of General Counsel Date</p> | | |

U. S. Nuclear Regulatory Commission
RECIPROCITY TRACKING SYSTEM (RTS)
DRAFT

RECIPROCITY TRACKING SYSTEM (RTS)

The RTS is used to track reciprocity license requests and their approvals

RTS is an NRC-wide enterprise system. RTS documents requests for reciprocity and approval status for:

- Situations where one Agreement State's licensee desires to perform licensed activities in either.
 - Non-Agreement States
 - Another Agreement State
 - Areas of exclusive Federal jurisdiction
 - Federal offshore waters
- Situations where a Federal licensee desires to work in an Agreement State jurisdiction.

1) Inputs/Source Documents

The RTS information is entered manually from NRC Form 241 supplied to the NRC Regional Office by the licensee after approval. The original Form 241 is subsequently transferred to the Regional ADAMS Processing Center and entered into ADAMS, or other approved record keeping system

Disposition: TEMPORARY Information used to provide input to RTS is cut-off after data entry and the RTS is verified to be correct. Forward the Form 241 to the Regional ADAMS Processing Center for entry into ADAMS, or other approved record keeping system **Instruction**

2) Master File

Information contained in RTS includes

- Licensee Information (Name, Address, License Number, and Contact Information)
- Type of work activity to be conducted, including sealed source and device make and model numbers, and dates to be performed
- Work Location, Client Name and Contact Information
- License Status and Agreement State Issuing the License
- Certifying Official's signature
- Inspection Planning and documentation
- Information describing fee payments and billing information

Disposition: TEMPORARY Cut off reciprocity approval data at the end of the calendar year. Destroy the entered approval data 5 years after cut off

3) Outputs

Reports from RTS are used to manage the Application Review and Inspection processes and to document the program activity

a. Standard Detail Reports

RTS has standard reports available from the Menu system. Available reports include listings of approved reciprocity licenses, including the time frames for the work, sorted by NRC region and reports of inspections performed printed during the year

Disposition: TEMPORARY. Cut off reciprocity approval data at the end of the calendar year. Destroy the system reports 5 years after cut off or when they are no longer needed for business reasons

3. **b. Annual Activity Summary Reports:**
Standard reports are also available that summarize the activity during the calendar year

Disposition: TEMPORARY. Print and cut off summary reports of the annual activity at the end of the calendar year. Destroy 5 years after cut off

4. **Adhoc System Reports**

Reports created from the information in RTS are used for the administration of the reciprocity approval program. Typical reports may include listings of currently approved licensees (with phone and fax numbers), and regional work activities for inspection planning

Disposition: TEMPORARY. Cut off and destroy when no longer required for business purposes
GRS 20/16

4) **RTS System Documentation**

System Documentation has been developed for RTS in accordance with NUREG/BR-0167, "Software Quality Assurance Program & Guidelines". The following work products are typical of the documentation that is developed in Rational ClearCase

- Data Dictionary
- Build and Installation Instructions
- Logical Design
- Online Help
- Operational Support Guide
- Physical Design
- Project Action Plan
- Project Charter
- Tactical Integration Plan
- Test Plan
- Training Material
- User Guide

4. **Current Versions of the Documentation**

Disposition: TEMPORARY. Retain current revisions of these records in a controlled repository (e.g., Rational ClearCase or ADAMS) until development is complete and the software is operational. Transfer the final approved versions and subsequent revisions of these documents to ADAMS, or an approved recordkeeping system, in a format acceptable to the ADAMS administrators and Records Officer. Cut off when the documents are superseded. Destroy 5 years after cut off
GRS 20/11a(1)

4. **Final System Documentation**

Disposition: TEMPORARY. Cut off when the RTS is decommissioned. Destroy 5 years after cut off.
GRS 20/11a(1)

Background

RTS is a NRC-wide enterprise system. The use of RTS documents requests for reciprocity is requested and approval status for

- Situations where one Agreement State's licensee desires to perform licensed activities in either
 - Another Agreement State
 - Non-Agreement States
 - Areas of exclusive Federal jurisdiction
 - Federal offshore waters
- Situations where a Federal licensee desires to work in an Agreement State's jurisdiction

Reciprocity is defined in NUREG-1556 as “(Nuclear Regulatory) Commission recognition of certain Agreement State licenses for work performed in areas of NRC jurisdiction. This term is also used in Agreement States with regard to Agreement State recognition of NRC licenses, as well as licenses from other Agreement States for work performed within their jurisdiction.”

Data entry is performed by the NRC Regional Offices that have jurisdiction over the Agreement State issuing the original license. Applications on NRC Form 241 are submitted, accompanied by the appropriate fee payment, at least 3 days before the activity is to be performed to obtain the necessary approvals. Work under a single approved Form 241 is limited to a maximum of 180 days per year, except that work performed at offshore locations has no annual limits. Revisions to the Form 241 are handled in the same manner as the original submittal and are used to modify the application and descriptions of the work.

RTS provides an alternate source of information concerning the approval of reciprocity applications. The official NRC records are contained in ADAMS, or other approved record keeping system. The information is retained in RTS for a minimum of 2 years to allow comparison and trending of requests over a period of several years.

The current revision of RTS was developed and is maintained by a contractor for the NRC. RTS was first implemented in 1987.

The Program Authority for RTS is contained in 10 CFR 30.3, “Rules of General Applicability to Domestic Licensing of Byproduct Material”, and 10 CFR 150.20, “Reciprocity”. Other NRC guidance documents include NUREG-1556, Volume 19, “Consolidated Guidance about Materials Licenses – Guidance for Agreement State Licensees about NRC Form 241 “Report of Proposed Activities in Non-Agreement States, Areas of Exclusive Federal Jurisdiction, or Offshore Waters and Guidance for NRC Licensees Proposing to work in Agreement State Jurisdiction (Reciprocity)”.