

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	NI-431-99-9
1 FROM (Agency or establishment) U.S. Nuclear Regulatory Commission		DATE RECEIVED	7-23-99
2. MAJOR SUBDIVISION Office of Commission Appellate Adjudication		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 12-28-01	ARCHIVIST OF THE UNITED STATES <i>John W. Talbot</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 8 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 7/16/99	SIGNATURE OF AGENCY REPRESENTATIVE <i>Dennis J. Sullivan</i>	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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p>Agencywide Documents Access and Management System (ADAMS) Programmatic Records of the NRC Office of Commission Appellate Adjudication.</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} 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 		

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 Commission Appellate Adjudication.</p>		

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4. NAME OF PERSON WITH WHOM TO CONFER John Harris	5. TELEPHONE 301-415-5885		

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is not required, is attached; or has been requested.

DATE 7/16/99	SIGNATURE OF AGENCY REPRESENTATIVE Brenda Jo. Shelton /S/; Revised 03/20/00	TITLE NRC Records Officer
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RECORDS OF THE OFFICE OF COMMISSION APPELLATE ADJUDICATION
PROGRAMMATIC RECORDS

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Item 3 OCAA Program Management and Operational Files	7

ADAMS RECORDS SCHEDULES
OFFICE OF COMMISSION APPELLATE ADJUDICATION

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA- APPROVED CITATION</u>
1.	<u>Appellate Adjudication Documents Files</u>		
	OCAA files consisting of informational legal memoranda from the OCAA Director to Commissioners, no-action memoranda, and legal memoranda signed by the Director or by line attorneys pertaining to cases monitored by OCAA, and other adjudicatory matters monitored by or directed to OCAA for action, excluding draft memorandum and order related documents.		
a.	Paper records created before 04/01/2000.	<u>Permanent.</u> Cut off at close of fiscal year. Transfer to NARA when 20 years old.	TBD (Unscheduled) Draft schedule based on NC1-431-81-5 Item 1.2.15.a (NUREG-0910 NRCS 1-2.2.a)
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	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>created internally using office automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.</p>		
	<p>d. ADAMS PDF files and TIFF files.</p>	<p><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 § 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>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.</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
2.	<p><u>Draft Memorandum and Order Files</u></p>		
	<p>Draft memorandum and orders prepared as Commission Legal Issuances (CLI), Office of Commission Appellate Adjudication</p>		

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA-APPROVED CITATION</u>
	<p>(OCAA) reviews of ASLB appeals, and opinions that are submitted to the Office of the Secretary as Adjudicatory Issue - Affirmation Commission (SECY) Papers signed by the Director, OCAA, for review, signature, and formal issuance by the Secretary of the Commission. Files are arranged by SECY Paper number and include internal correspondence, notes, copies of vote sheets, revised CLI, and related documents. Office of the Secretary maintains their copies of these records permanently as well as records of the final signed and issued CLIs.</p>		
	<p>a. Paper records created before 04/01/2000.</p>	<p>Cut off at close of fiscal year. Destroy 10 years after cutoff.</p>	<p>TBD (Unscheduled)</p>
	<p>b. 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>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.</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.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA- APPROVED <u>CITATION</u>
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 at close of fiscal year. Destroy 10 years after cutoff.	TBD
3.	<u>OCAA Program Management and Operational Files</u>		
	Files that document OCAA program management and operational functions at all levels. Files include letters, memoranda, OCAA assignment lists, messages, studies, reports, forms, and other data documenting and/or implementing plans, policies, procedures, and accomplishments of OCAA program and staff activities.		
a.	Paper records created before 04/01/2000.	Cut off at close of fiscal year. Destroy 10 years after cutoff.	TBD (Unscheduled) Draft schedule based on NC1-431-81-5 Item 1.2.15.b (NUREG-0910 NRCS 1-2.2.b)
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	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD

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	<p>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>		
d.	<p>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.</p>	<p>Cut off electronic files at close of fiscal year. Destroy 10 years after cutoff.</p>	TBD

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a.	Paper records created before 01/01/2000.	<u>Permanent.</u> Cut off at close of fiscal year. Transfer to NARA when 20 years old.	TBD (Unscheduled) Draft schedule based on NC1-431-81-5 Item 1.2.15.a
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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
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e.	<p>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.</p>	TBD
2.	<p><u>Draft Memorandum and Order Files</u></p>		
	<p>Draft memorandum and orders prepared as Commission Legal Issuances (CLI), Office of Commission Appellate Adjudication (OCAA) reviews of ASLB appeals,</p>		

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	<p>and opinions that are submitted to the Office of the Secretary as Adjudicatory Issue - Affirmation Commission (SECY) Papers signed by the Director, OCAA, for review, signature, and formal issuance by the Secretary of the Commission. Files are arranged by SECY Paper number and include internal correspondence, notes, copies of vote sheets, revised CLI, and related documents. Office of the Secretary maintains their copies of these records permanently as well as records of the final signed and issued CLIs.</p>		
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