

REQUEST FOR RECC
(See Instr.)

SITION AUTHORITY
reverse)

CO 29 May 81/14/

LEAVE BLANK

TO: **GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

NCI-431-81-5

1. FROM (AGENCY OR ESTABLISHMENT)
US Nuclear Regulatory Commission

DATE RECEIVED
MAY 29, 1981

2. MAJOR SUBDIVISION
Office of Administration, Division of Technical

NOTIFICATION TO AGENCY

3. MINOR SUBDIVISION
Information and Document Control

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

4. NAME OF PERSON WITH WHOM TO CONFER
A. E. Warren

5. TEL. EXT.
492-8137

12/9/81
Date
Robert M. Mann
Archivist of the United States

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 52 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C. DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE
3/26/81	<i>R. Stephen Scott</i>	Records Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>The Attached proposed records control schedules represent the first comprehensive listing of the NRC textual records recommended for disposition.</p> <p>Proposed schedules for NRC machine-readable and audio-visual records are being developed and will be sent to NARS for approval within the next few months.</p> <p>Only two items on the attached schedules supersede previously approved disposition actions. Item 22 of NRCS 1 and item 6 of NRCS 4 supersede items 1 and 2 respectively of NCI-431-80-1 approved by the Archivist on March 5, 1980.</p>		

Closed Out: 12-30-81: F.T.D. Copy to ALL FRCS Agencies, NNT & NNB

changes made with concurrence of records official. microfilm certified in accordance with 41 CFR 101-11.506 and stored in accordance with 101-11.507 and 101-11.508. Final inspection June 1982.

209 items

INTRODUCTION

The Nuclear Regulatory Commission (NRC) is required to establish and maintain a records scheduling program in accordance with 44 USC 3101--3102, and 3303 to control the creation and disposition of official records.

The disposition of the Nuclear Regulatory Commission's records is controlled by the authorized instructions as contained in NRC Schedules (NRCS) 1-4 which apply to the agency's program or substantive records and General Records Schedules (GRS) 1-22 which apply to housekeeping or facilitative records.

NRCS 1 applies to records common to all or most NRC offices; NRCS 2 applies to program records as found in the various offices of the Commission; NRCS 3 applies to records accumulated by the Advisory Committee on Reactor Safeguards; and NRCS 4 applies to records accumulated in the various NRC offices under the Executive Director for Operations.

The schedules are assembled functionally/organizationally to facilitate their use. Preceding the records descriptions and disposition instructions for both NRCS and GRS, there are brief statements on the organizational units which accumulate the records in each functional area, and other information regarding the schedules' applicability.

The authorized disposition for each records series has been approved by NRC Officials, the General Accounting Office, and authorized by the Archivist of the United States. The disposition standards, as authorized are legally mandatory. When justified by NRC operating officials, continued retention of any record series beyond the period authorized in these schedules must be approved by the NRC Records Management Officer (TIDC) and the National Archives and Records Services (NARS).

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NRC SCHEDULE 1

RECORDS COMMON TO MOST OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<u>PART 1. OFFICE GENERAL ADMINISTRATIVE FILES</u>		
1.	<u>Records Retirement Lists</u> Copies of documents created in retiring files to Federal Archives and Records Centers or similar records storage areas. Included are Standard Forms 135 or similar lists, and related papers.	Retain in active files until all records listed thereon have been destroyed, then destroy Maintain list in Headquarters for permanent reference.
2.	<u>Suspense Files</u> Papers arranged in chronological order as a reminder that an action is required on a given date; a reply to action is expected and if not received should be traced on a given date; or a transitory paper being held for reference which may be destroyed on a given date. Examples of papers in suspense files are: a) A note or other reminder to submit a report or to take some other action. b) The file copy, or an extra copy of an outgoing communication, filed by the date on which a reply is expected. c) Papers which may be destroyed in 30 days or less as being without further value.	Destroy after action is taken. Withdraw papers when reply is received. If suspense copy is an extra copy, destroy it; if it is the file copy, incorporate it with other papers for file. Destroy on date under which suspended.
3.	<u>Transitory Files</u> Papers of short term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are shown below:	Destroy when 90 days old or sooner if purpose has been served.

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RECORDS COMMON TO MOST OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	a) <u>Requests for Information or Publications</u> Routine requests for information or publications which require no administrative action, no policy decisions, and no special compilations or research for reply, such as requests for publications or other printed material.	
	b) <u>Letters of Transmittal</u> Letters of transmittal that do not add any information to that contained in the transmittal material.	
	c) <u>Quasi-Official Notices</u> Memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar papers.	
4.	<u>Office Organization Reference Files</u> Documents relating to the organization and function of an office. Included are copies of organization and functional charts and statements; documents relating to office staffing; documents concerning functional assignments and changes. Also included are documents reflecting minor changes in the office organization or functional assignments which are made by the office chief.	Destroy when superseded, obsolete, or no longer needed for reference.

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RECORDS COMMON TO MOST OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
5.	<p><u>Office Administrative Files</u></p> <p>Documents accumulated by individual offices that relate to routine internal management or general administration (budget, procurement, etc.) rather than the function for which the office exists.</p> <p>These records may include copies of correspondence and reports which are prepared in the office and forwarded to higher levels and/or other materials that do not serve as official documentation. Includes also papers relating to obtaining housekeeping-type services from responsible offices.</p>	<p>Cut off at close of fiscal year. Destroy when 2 years old or sooner if purpose has been served.</p>
6.	<p><u>Employee Travel Files</u></p> <p>Correspondence, requests, travel authorizations and orders, itineraries, and similar papers pertaining to employee travel exclusive of records maintained in the Controller's Office.</p>	<p>Cut off at close of fiscal year. Destroy when 1 year old.</p>
7.	<p><u>Office General Personnel Files</u></p> <p>Documents that relate to the day-to-day administration of personnel in individual offices. Included are papers that relate to attendance and overtime, notices of holidays and hours worked; notices and lists of persons to attend training sessions; papers concerning participation in employee and community affairs; campaigns, drives; and comparable or related papers. Arranged as appropriate.</p>	<p>Cut off at close of fiscal year. Destroy when 2 years old.</p>

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8.	<u>Weekly Status Reports</u> Files consist of internal narrative reports containing items of interest on program activities submitted by NRC offices weekly to the Commission.	Destroy when one year old.
9.	<u>Reimbursable Agreements and Contract Files</u> Includes all contractual and reimbursable agreement files (under Memorandum of Understanding - DOE/NRC) pertaining to work done for NRC by any outside source.	See General Records Schedule 3, Item 4 for authorized disposition.
10.	<u>Vendor Topical Reports</u> Reports submitted as part of licensing requirements by nuclear steam supply systems vendors containing information of use to utility companies as well as the Commission. a) Silver master and one diazo copy of microfiche copies of reports b) Paper copies of reports	Offer to NARS when 20 years old. If the National Archives declines destroy when no longer needed. Destroy when microfiche copies are determined to be an adequate substitute for paper copies or when no longer needed if office does not have access to microfiche copies.
11.	<u>Reading or Chronological Files</u> Extra copies of correspondence prepared and maintained by the originating office, used solely as a reading or reference file for the convenience of personnel.	Cutoff at close of fiscal year. Destroy when 1 year old or when reference value has been exhausted, whichever is sooner.

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RECORDS COMMON TO MOST OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	<u>Exception</u> Applicable to the Commissioners' chronological file of outgoing correspondence comprised of letters signed by the Commissioners. See NRC Schedule 2, Item 1.	
12.	<u>Policy and Precedent Reference Files</u> Copies of documents establishing policy or precedents pertinent to future and continuing actions. Normally, policy and precedent files are maintained at operating levels and consist of extra copies of operating procedures, statements of policy or procedure, examples of typical cases, and other documents duplicated in official files. Original or official record copies will NOT be placed in this file. This file consists of non-record copies maintained only for convenience of reference.	Destroy when organizational unit is discontinued or when documents become obsolete or are no longer needed for operating or reference purposes.
13.	<u>Staff Working File</u> Reference files maintained for convenience by individual staff members. Includes copies of docket material and other records maintained in official NRC files.	Destroy at the same time the related subject file is destroyed, or earlier if no longer needed for reference purposes.
14.	<u>Reference Publication Files</u> Copies of NRC internal and/or external directives, and publications issued by other Government agencies and non-governmental organizations maintained for reference within an office.	Destroy when superseded, obsolete, or no longer needed for reference purposes.

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RECORDS COMMON TO MOST OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<u>PART 2. GENERAL PROGRAM CORRESPONDENCE FILES</u>		
15.	<u>General Subject Correspondence Files</u>	
	Letters, memoranda, messages, studies, reports, forms, and other data documenting and/or implementing plans, policies, procedures, accomplishments, opinions, and decisions pertaining to NRC program and staff activities.	
	a) <u>Program Correspondence Files at the office level or above.</u> These files document policy-making decisions or significant NRC program management functions. They are accumulated by the Advisory Committee or Reactor Safeguards (ACRS), the Secretary of the Commission, Office Directors reporting to the Commission, and those reporting to the Executive Director for Operations and are filed variously in large central collections or in decentralized locations. Excluded is that program correspondence which documents routine transactions and covered by item 15.c) below.	Permanent. Cut off at close of fiscal year. Hold 2 years and retire to WNRC. Offer to NARS when 20 years old.
	b) <u>Program Correspondence Files maintained at the division level and below in NRC Headquarters Offices and in Regional Offices.</u>	Cut off at close of fiscal year. Hold 2 years and retire to FARC/WNRC as appropriate. Destroy 10 years after cutoff.
	c) <u>Routine Program Correspondence Files maintained at all organizational levels.</u> Files documenting program transactions of a routine or recurring nature, the record content of which is summarized or duplicated in Item 15.a) or b) above.	Destroy when two years old or sooner if purpose has been served.

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RECORDS COMMON TO MOST OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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PART 3. DOCKET FILES

The docket files accumulated by the Agency in the licensing process constitute the most voluminous files of the NRC. These records encompass technical, environmental, legal, and financial documentation pertinent to the granting, amending, and renewal or revocation of licenses under 10 CFR.

The several separate offices at both Commission and operational levels require that the filing of license docket materials conform to these offices' separate functions and responsibilities. This results in obvious duplication at various organizational levels in administering the agency licensing function. For example, at the adjudicatory phase an official adjudicatory docket is developed and maintained in the Office of the Secretary. At the same time, in administering the adjudicatory function, duplicative working docket files are maintained by the Atomic Safety Licensing Board Panel and the Atomic Safety Licensing Appeal Board offices.

Therefore, descriptive disposition standards for the licensing docket files have been placed in this section of the schedule rather than assigning them to the proper functional or organizational area in the schedules (where they may more properly belong) in order to be able better to perceive relationships in establishing reasonable retention standards for the records.

This has not been done, however, for the ACRS which has special recordkeeping requirements imposed by the Federal Advisory Committee Act (PL 92-463). See NRC Schedule 3.

ADJUDICATORY LICENSING DOCKET FILES

16. Commission's Decisional License
Docket Files

The official license files of the Commission maintained in the Office of the Secretary containing copies of Licensing Board and Appeal Board Orders and transcripts of hearings, exhibits consisting of copies of pertinent staff documents, Commission orders and decisions, and filings by various parties and related documentation in all licensing proceedings. Arranged numerically by docket number.

Permanent. Offer to NARS 5 years after expiration or revocation of license.

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17.	<u>Power Reactor License Docket Files of the ASLBP</u> Case files containing copies of license applications, staff papers, letters of intervenors, letters from the Board, I&E Reports, Commissioners' reports, and other docket-related documentation.	Destroy after completion of the first refueling of power reactor.
18.	<u>Power Reactor License Docket Files of the ASLAP</u> Case files documenting the appeals to and decisions taken by the ASLAP including appeal transcripts introduced into and made a part of the record, and the final decisions.	Place in inactive file those cases on which Appeal Board action has been completed. Transfer inactive files in annual blocks to WNRC. Destroy inactive files when 3 years old.
19.	<u>Licensing Docket Formal Hearing Files</u> Case files maintained by the Offices of the Executive Legal Director on hearings before the Commission, Boards and Panels relating to antitrust actions, and applications for construction permits and operating licenses for individual nuclear facilities. Files consist of correspondence, briefs, pleadings, hearing transcripts, and related records on cases and are used by OELD staff in arguing cases. a) Paper records b) Silver master and one diazo copy of microfiche	Destroy after verification that microfiche copies are adequate substitutes for original records. Offer to NARS. If not accepted by the National Archives, maintain until no longer needed by agency.

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	c) Reference copies of microfiche	Destroy when no longer needed.

TECHNICAL LICENSING DOCKET FILES

20. Nuclear Power Plant Docket Files

Records documenting licensing of the construction and operation of commercial nuclear reactors for power generation pursuant to Parts 2, 20, 50, 100 and 140 of Title 10, Code of Federal Regulations. Material consists of individual applicant case files, identified by assigned docket numbers, containing copies of all documents received or generated in the review, evaluation, and authorization stages of the licensing process. Each operating license issued is for a fixed time period specified in the license document but in no case exceeding 40 years. Licenses may be renewed by NRC upon the expiration of the initially authorized operating period.

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|----|---|---|
| a) | Official docket files of the Office of Nuclear Reactor Regulation, located in the Records Services Branch, determined by the NRC or the NARS to have exceptional value because of the highly significant nature of their contents or their uniqueness. Included are files that: | Permanent. Offer to NARS 20 years after termination of license. |
| | 1. Result in judicial decisions or legislation that affect the functions and activities of NRC, e.g. Enrico Fermi No. 1 (Power Reactor Demonstration Co. Reactor). | |

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	2. Result in significant changes in regulatory activities and procedures, e.g., Brown's Ferry.	
	3. Were the subject of Congressional investigation or were of great public interest, e.g., TMI.	
	b) Other docket files of NRR except for that part of the files described in Item 20.c) below.	Destroy 20 years after termination of license.
	c) Hearing and intervention correspondence and information; hearing transcripts of boards and panels; inspection reports and related correspondence; and any other documentation duplicated in the permanent file described in a) above and NRC Schedule 1, Item 16 and NRC Schedule 4, Item 6.a).	Destroy when 5 years old.
	d) Other docket files located in I&E Headquarters and Regional offices except for I&E documentation described in NRC Schedule 4, Item 6.a.	Destroy when 5 years old or sooner if purpose has been served.
21.	<u>Export/Import License Docket File</u> Case files and related control log pertaining to the licensing of companies and individuals pursuant to 10 CFR Part 110 to export or import nuclear material and equipment and nuclear components and facilities. Included are license applications, a copy of the license, and all other documentation pertaining to the licensing process. Arranged numerically by license number.	

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	a) Official files maintained in the Office of International Programs.	Permanent. Retire to WNRC when 10 years old. Offer to NARS 10 years after license has expired.
	b) Other copies throughout NRC.	Destroy when no longer needed.
22.	<u>Fuel Facilities, Transportation, Byproduct, Source, and Special Nuclear Material Docket Files</u> Case files documenting the licensing of persons, institutions, facilities or companies to use byproduct, source and special nuclear material, and to transport nuclear material as defined in 10 CFR Parts 30, 40, 70, and 71. Included are the application, license and amendments, and all related documentation. Excluded are case files (under 10 CFR Part 40) with license prefix of "SUA" which are covered by Item 23 of this schedule.	
	a) Official case files located in the Office of Nuclear Material Safety and Safeguards (NMSS) except for those files covered by b) below.	Retire to WNRC after license is expired or terminated and receipt of I&E certification that premises are free of contamination. Destroy 10 years after date of I&E certification.
	b) Case Files covering licensees for which licensing jurisdiction is transferred to the State under agreement covering transfer of function.	Transfer to Agreement States
	c) All other copies in NMSS and I&E, both Headquarters and Regional Offices.	Destroy when 1 year old or earlier if purpose has been served.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
23.	<p><u>High-Level, Low-Level, and Uranium Recovery Docket Files.</u></p> <p>Case Files documenting the licensing of high-level, low-level and uranium recovery operations including mills, solution mining, and heat leaching of ion exchange facilities in non-Agreement States as defined in 10 CFR 40 with license transfer prefix of "SUA." Includes applications, licenses and amendments and other related material. Arranged by docket number.</p>	<p>Permanent. Offer to NARS when 10 years old.</p>
<u>PART 4. MEDICAL AND HEALTH FILES</u>		
24.	<p><u>Health Records Files</u></p> <p>Health case files on NRC employees, exclusive of records relating to unique occupational hazards of the atomic energy program, covered by item 25 of this schedule, comprising forms and correspondence and related papers documenting medical treatment.</p>	<p>See GRS1, Item 21 for authorized disposition</p>
25.	<p><u>Personnel Exposure Files</u></p> <p>Records accumulated to measure the degree of radiation exposure of individuals to external radiation and internally deposited isotopes.</p> <p>a) Individual NRC personnel folders containing data and radiation exposure</p> <p>b) Film badge processing reports</p>	<p>Destroy 75 years from the date of the creation of the record.</p> <p>Destroy 75 years from date of report</p>
26.	<p><u>Licensee Mismanagement Files</u></p> <p>Licensee reports and other records relating to incidents of licensees (primarily doctors or other medical</p>	<p>Files to be maintained by licensee or State office of radiological safety for</p>

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	facilities) mismanagement of radiation administered to individuals containing name of individuals and other data pertaining to the mismanagement.	75 years from date of report. If records are deposited with the NRC, destroy 75 years from date of report.
27.	<u>Personnel Monitoring Report Files</u> Reports and related correspondence required of licensees by NRC under 10 CFR 20.407.	
	a) Paper records submitted by licensees	Destroy two years after data is inputted to Radiation and Information Reporting System (REIRS)
	b) Machine readable tape information on computer maintained at Oak Ridge National Laboratory	Destroy data when it has been determined by competent NRC authorities that all purposes have been served.
	c) Computer printouts produced by any organizational level	Destroy when superseded or obsolete.

PART 5. PROGRAM ADMINISTRATION FILES

The files described in this part of NRC Schedule 1 properly belongs in one or more of the twenty-two General Records Schedules. However, because of specialized NRC records retention requirements for these selected common-type government records, they are included in this schedule in alphabetical order with other general NRC records.

28. Awards Files

- | | | |
|----|--|---|
| a) | Records relating to meritorious and distinguished service awards made at the Commission level and maintained by the office of Personnel. | Permanent. Offer to NARS when 10 years old. |
| b) | Copies of records described in a) above exclusive of those filed in Official Personnel Folders. | Destroy 2 years after award is made. |

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
29.	<u>Budget Files</u>	
	a) Correspondence or subject files in the office of the Controller documenting Commission policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.	Permanent. Offer to NARS when 10 years old.
	b) Copies of budget estimates and justifications prepared and maintained by the Division of Budget, Office of the Controller. Included are appropriation language sheets, narrative statements, and related schedules and data.	Permanent. Offer to NARS when 10 years old.
	c) Working papers and background materials maintained at all organizational levels.	Destroy 1 year after the close of the fiscal year covered by the budget.
30.	<u>Committee and Conference Records</u>	
	a) Records relating to establishment, organization, membership and policy.	
	(1) Interagency and international committees.	Permanent. Offer to NARS 10 years after NRC involvement terminates.
	(2) Internal committees.	Destroy 2 years after termination of committee.
	b) Records created by committees.	
	(1) Agenda, minutes, final reports, and related records documenting accomplishments.	
	(a) Records created when NRC is the sponsor agency.	Permanent. Offer to NARS 20 years after NRC involvement terminates.

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	(b) All other copies.	Destroy when 3 years old or when no longer needed for reference.
	(2) All other committee records.	Destroy when 3 years old or when no longer needed for reference.
31.	<u>Directive Case Files</u> Internal directives issued at the Commission level, maintained in the Office of Management and Program Analysis.	
	a) Record copy, with supporting case file, if any, documenting important aspects of the development of the issuance.	Permanent. Offer to NARS when 10 years old.
	b) Working papers and background material.	Destroy 6 months after directive is issued.
	c) Other copies of directives.	Destroy when superseded.
32.	<u>Forms Files</u>	
	a) One record copy of each NRC form created that is maintained by TIDC, with related instructions and documentation showing inception, scope, and purpose of the form.	Permanent. Offer to NARS when 10 years old.
	b) Working papers, background materials, requisitions, specifications, processing data, and control records maintained at all organizational levels.	Destroy when related form is discontinued, superseded, or cancelled.
33.	<u>Grants' Files.</u>	
	a) Case files of contracts, reports, studies, agreements, correspondence, and other records relating to receipt, award, and monitoring of grants.	See GRS 3 Item 4 for authorized disposition DESTROY 6 years and three months after case is closed.

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	b) Reports, books, studies, or any other final grant product and related records accumulated in the Division of Contracts.	Permanent. Offer to NARS when 10 years old.
34.	<u>Information Files</u>	
	a) Complete set of formal informational releases and publications, press conference transcripts, official speeches, and indexes thereto maintained by the Office of Public Affairs.	Permanent. Offer to NARS when 10 years old.
	b) Copies of records described in a) above.	Destroy when no longer needed.
35.	<u>Organizational Records</u>	
	a) Official organization charts, <i>telephone books</i> , and related records which document the organization and functions of the agency.	
	(1) Record copy maintained by the Office of Management and Program Analysis.	Permanent. Offer to NARS when 10 years old.
	(2) All other copies.	Destroy when superseded or obsolete.
	b) Narrative histories of the Commission and its work.	
	(1) Record copy maintained by the NRC Historian's Office.	Permanent. Offer to NARS when 10 years old.
	(2) All other copies.	Destroy when superseded or obsolete.
36.	<u>Publications</u>	
	Pamphlets, reports, leaflets, regulations, manuals or other processed documents, or the last manuscript copy if not published, relating to NRC matters.	

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a)	Record copy with the supporting papers which document the inception scope and purpose of the publication maintained in the Document Management Branch, Office of Administration.	
	(1) Publication in paper form only.	Permanent. Offer to NARS when 10 years old.
	(2) Publication in microform - silver master and one diazo copy.	Permanent. Offer to NARS when 2 years old. Destroy paper records when it has been determined that microform copies are adequate substitutes for original records.
b)	work papers and background materials	Destroy 6 months after publication
c)	Other copies	Destroy when no longer needed
37.	<u>Security Policy Files</u>	
	Manuals, directives, plans, reports, and correspondence reflecting policies and procedures developed by Security, Office of Administration in the administration and direction of security and protective services programs.	Permanent. Offer to NARS when 10 years old.
38.	<u>Security Violations (Felonies) Files</u>	
	Case files relating to investigations of alleged security violations of a sufficiently serious nature to be classified as felonies . Maintained by Security, Office of Administration. <i>and the Office of Inspector Systems Security Records and Audit.</i>	Permanent. Offer to NARS when 10 years old.
39.	<i>exceptional historical and evidential value.</i>	
a)	<u>Access Request Files</u>	
	Requests and authorizations for individuals to have access to COMSEC information.	Destroy 2 years after authorization expires.

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RECORDS COMMON TO MOST OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
b)	<u>Document and Material Transfer Records</u> COMSEC document and material transfer records, package receipts and COMSEC material reports, SF-153.	Destroy 2 years after completion of transation.
c)	<u>Inventory of COMSEC Documents and Material</u>	
	1) Periodic inventories of COMSEC documents and material in cases where no discrepancies exist.	Destroy after the succeeding inventory is submitted and verified.
	2) Periodic inventories of COMSEC documents and material where discrepancies exist	Destory after the succeeding inventory is submitted and verified and all discrepancies resolved.
	3) Inventories conducted on change or absence of COMSEC custodian.	Destroy 1 year after conducted and verified and all discrepancies resolved.
	4) Inventories conducted periodically or on change or absence of COMSEC custodian where irregularities exist or have existed.	Destory when all purposes have been served.
d)	<u>Loss or Compromise of Accountable COMSEC Documents or Material</u> Message reports, letter reports or other documents relating to loss or compromise of accountable COMSEC documents or material	Destroy only after accountability established or evidence of compromise negated.
e)	<u>Document and Material Destruction</u> Key card disposition record, key list disposition record and other records of destruction of accountable COMSEC documents or material.	Destroy when 2 years old.

NRC SCHEDULE 1

RECORDS COMMON TO MOST OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
f)	<u>Reportable Telecommunications Insecurities</u> Reports of any deviation or incident which could adversely affect the security of a telecommunication system.	Destroy 5 years after all action has been completed
g)	<u>Security Proposals for the Establishment of Centers and Use of Equipment</u> Security proposals for the establishment of secure communications centers, installation of equipment or systems	Destroy 2 years after the center is deactivated, equipment has been replaced or system is changed.
h)	<u>Equipment</u> List of equipment comprising a secure telecommunications system (e.g., terminal equipment, cryptographic equipment and modems)	Destroy when no longer applicable
i)	<u>Floor Plans</u> Floor plans of secure communications centers showing the location of equipment, the construction of walls, floors and ceilings of the room(s) or separate architectural details such as doors, windows or ducts	Destroy when secure communications centers has been relocated
j)	<u>Installation Drawings</u> Installation drawings, e.g., writing diagrams or conduct plans for the secure telecommunications equipment	Destroy when equipment has been replaced

NRC SCHEDULE 1

RECORDS COMMON TO MOST OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	k) <u>Standard Operating Instructions</u> Standard operating instructions for secure communications center	Destroy when secure communications center is no longer operable
	l) <u>Tempest and Acoustic Tests</u> Documents relating to Tempest tests or acoustic tests conducted of secure communications centers	Destroy after subsequent tests have been conducted and results approved
	m) <u>Audio Countermeasure Inspection Files</u> Records of sweep requests (NRC Form 337) and sweep reports (NRC Form 336) relating to the examination and inspection using sophisticated electronic equipment	Destroy after the succeeding inspection is conducted
40.	<u>Training Aids</u>	
	a) One copy of each manual, syllabus, textbook, and other training aid or management and technical subjects developed by the Commission and maintained by the Management Development staff and the I&E Training officers, both Headquarters and Chatanooga, Tennessee.	Permanent. Offer to NARS when 10 years old
	b) Training aids from other agencies or private institutions	Destroy when obsolete or superseded.

NRC SCHEDULE 2

RECORDS OF THE COMMISSION

The Commission is responsible for licensing and regulating nuclear facilities and materials, and for conducting research in support of the licensing and regulatory process, as mandated by the Atomic Energy Act of 1954, as amended, the Energy Reorganization Act of 1974, as amended, and the Nuclear Nonproliferation Act of 1978; and in accordance with the National Environmental Policy Act of 1969, as amended, and other applicable statutes. These responsibilities include protecting public health and safety, protecting the environment, protecting and safeguarding materials and plants in the interest of national security, and assuring conformity with antitrust laws. Agency functions are performed through: standards-setting and rulemaking; technical reviews and studies; conduct of public hearings; issuance of authorizations, permits and licenses; inspection, investigation and enforcement; evaluation of operating experience, and research. The Commission is composed of five members, appointed by the President and confirmed by the Senate, one of whom is designated by the President as Chairman. The Chairman is the principal executive officer and the official spokesman of the Commission.

NRC SCHEDULE 2

RECORDS OF THE COMMISSION

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<u>PART 1. RECORDS OF THE COMMISSIONERS</u>		
1.	<u>Commissioners' Chronological Files</u> Copies of all outgoing correspondence and reports prepared by the individual commissioners. Arranged chronologically.	Permanent. Offer to NARS when 10 years old.
<u>PART 2. RECORDS OF BOARDS AND PANELS</u>		
<u>Atomic Safety and Licensing Board</u> <u>Panel (ASLBP)</u>		
The Atomic Safety and Licensing Board Panel develops procedures applicable to activities of hearing boards and makes appropriate recommendations to the Commission relating to the conduct of hearings, and hearing procedures for the guidance of the boards. Atomic Safety and Licensing Board conducts such hearings as the Commission may authorize or direct; make such intermediate or final decisions as the Commission may authorize in proceedings to grant, suspend, revoke, or amend licenses or authorizations; and perform such other regulatory functions as the Commission deems appropriate.		
2.	<u>Memoranda to Panel Board Members</u> Memoranda of an informational nature on technical matters of use to full-time and part-time panel members. Arranged numerically by memorandum numbers within fiscal years.	
	a) Legal memos	Permanent. Offer to NARS when 20 years old.
	b) Technical memos	Permanent. Offer to NARS when 20 years old.
3.	<u>Panel Board's Monthly Status Report to Commissioners</u> Reports from the Chairman of the Panel to the Commission summarizing the activities of the Board.	Destroy when 10 years old. Cut off files annually.

NRC SCHEDULE 2

RECORDS OF THE COMMISSION

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
4.	<u>Transcripts of ASLBP Hearings</u> Verbatim transcripts of the formal ASLBP hearings. These transcripts are filed in the Commission's Official Decisional Docket File (NRC Schedule #1, Item 16).	Destroy when no longer needed for reference.
5.	<u>Minutes of Advisory Screening Committees</u> Minutes of each advisory screening committee and copies of other documents related to the minutes.	Retain for life of committee
6.	<u>Advisory Screening Committee Consultant Personnel Files</u> Correspondence, reports, and other records pertaining to the qualifications and employment of outside technical advisors or consultants under contract with the Committees.	Destroy ten years after termination of contract.

PART 3. RECORDS OF THE OFFICE OF THE SECRETARY

The Office of the Secretary of the Commission develops policies and procedures for the provision of complete secretariat services required for the discharge of Commission business and implementation of Commission decisions. The Secretary advises and assists; the Commission, offices reporting directly to the Commission, and the Executive Director for Operations and his subordinate offices on the scheduling and conduct of Commission business. The Assistant Secretary performs functions of the Federal Advisory Committee Management Officer; maintains liaison with certain boards and advisory committees; and acts as FOIA coordinator for Commission documents.

7.	<u>Commission (SECY) Paper Files</u> Commission Papers, generally referred to as SECY Papers, are formal documents prepared by NRC staff offices, Commission staff offices, ACRS and Boards and Panels as the principal instrument by which the Commission
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NRC SCHEDULE 2

RECORDS OF THE COMMISSION

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	<p>receives recommendations for decision and information on significant matters. There are three categories of SECY papers: <u>Policy Issue</u>, <u>Adjudicatory Issue</u>, and <u>Rulemaking Issue</u>. Within each category, the differing types of decisional and informational processing are distinguished by color bands on the top and bottom of the first page.</p>	
	<p>a. Red banded SECY papers recommend decisions to be made at a Commission meeting.</p>	
	<p>b. Blue banded SECY papers recommend decisions to be made by notation voting.</p>	
	<p>c. Green banded SECY papers recommend decisions to be made at an Affirmation Session.</p>	
	<p>d. Black banded SECY papers identify matters referred to the Commission for information. A copy of all SECY papers are filed subjectively in the Secretariat Subject File (NRC Schedule 1, Item 15.a).</p>	
	<p>a) <u>Commission (Secy) Paper Comment Folders</u> which are case files comprising the official record of the Commissioners' voting and their comments. Folders include a copy of the Secy Paper, vote sheets, and related comments and correspondence. Arranged numerically by Secy Paper Number.</p>	<p>Permanent. Offer to NARS when 20 years old.</p>
	<p>b) Other copies of Commission (Secy) Papers</p>	<p>Destroy when no longer needed for reference.</p>

NRC SCHEDULE 2

RECORDS OF THE COMMISSION

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8.	<u>Transcripts of Commission Meetings</u> Verbatim transcripts of open and closed meetings of the Commission. Arranged chronologically by date of meeting.	Permanent. Offer to NARS when 20 years old.
9.	<u>Stenographic Tapes of Commission Meetings</u> a) Tapes of open meetings b) Tapes of closed meetings	Destroy when transcribed. Destroy when two years old or later when a <u>complete</u> transcript has been disclosed, except that all tapes of TMI are to be retained until disposal has been authorized by the Office of General Counsel.
10.	<u>Rulemaking Docket Files</u> Copies of rulemaking documents sent to the Office of the Federal Register for publication, and related correspondence and other documentation.	Destroy 5 years after the completion (through adoption or withdrawal) of rulemaking proceedings noticed in the <u>Federal Register</u> .

PART 4. RECORDS OF THE OFFICE OF THE GENERAL COUNSEL

The Office of the General Counsel directs matters of law and legal policy, providing advice and assistance to the Commission and to the Offices reporting to the Commission with respect to all activities of the NRC; reviews and prepares appropriate decisions on ASLAB decisions and rulings, public petitions seeking direct Commission action, and rulemaking proceedings involving hearings; represents and protects the interests of the NRC in court proceedings, and in relation to other government agencies, Committees of Congress, foreign governments, and members of the public.

11.	<u>Litigation Case Files</u> Correspondence and copies of all papers filed in actions brought by or against the NRC. Arranged alphabetically by the name of the party involved in the suit.	Permanent. Transfer closed files to WNRC 7 years after cases are closed. Offer to NARS 20 years after cases are closed.
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NRC SCHEDULE 2

RECORDS OF THE COMMISSION

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
12.	<u>Commission Memorandum File</u> Copies of memoranda to Commissioners containing legal opinions on a variety of subjects. Memoranda are numbered sequentially within years.	
	a) Record set consisting of one copy of each memorandum	Permanent. Transfer to WNRC when 10 years old. Offer to NARS when 20 years old.
	b) Other copies	Destroy when no longer needed.
13.	<u>Legislative Files</u> Case files of legislation proposed by NRC consisting of proposals, staff comments, internal memos, correspondence with OMB, testimony, and draft bills. Arranged numerically by bill number or by subject if more than one bill is involved.	Destroy 10 years after bill is introduced and passed by the Congress or when 10 years old if bill fails to be passed. PERMANENT. Transfer to WNRC when 10 years old. Offer to NARS when 20 years old.
<u>PART 5. OFFICE OF CONGRESSIONAL AFFAIRS RECORDS</u>		
The Office of Congressional Affairs provides advice and assistance to the Commission and NRC staff on all NRC relations with Congress and views of Congress toward NRC policies, plans, and activities; maintains liaison with Congressional Committees and members of Congress on matters of interest to NRC; serves as primary contact point for all NRC communications with Congress, reviewing and concurring in all outgoing correspondence to members of Congress; participates in planning and developing NRC's legislative programs.		
14.	<u>Congressional Correspondence Files</u> Correspondence with individual congressmen, chairmen of congressional committees, and their staffs relating to the activities and programs of the agency.	Cut off file every 2 years. Transfer to WNRC 2 years after file break. Destroy when 10 years old.

NRC SCHEDULE 2

RECORDS OF THE COMMISSION

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
15.	<u>Senate and House Members Profile Files</u> Files containing biographical information on members of the U.S. Congress.	Destroy when 5 years old or sooner if purpose has been served.
16.	<u>Legislative Files</u> Copies of proposed House and Senate bills relating to NRC operation and related correspondence.	Destroy when legislation is passed or when no longer needed.

PART 6. RECORDS OF THE OFFICE OF INSPECTOR AND AUDITOR

The Office of Inspector and Auditor conducts investigations and inspections to ascertain and verify the integrity of all NRC operations; investigates allegations of NRC employee misconduct, equal employment opportunity and civil rights complaints; develops policies and standards governing the Commission's financial and management audit program, and administers Commission's day-to-day audit activities; serves as point of contact with the GAO on matters affecting NRC's financial and management audit function; makes such reports to the Commission as necessary to keep the Commission fully informed on its financial management responsibilities, and on the results of investigations and inspections; hears individual employee concerns regarding NRC operations and activities; refers criminal matters to the Dept. of Justice and maintains liaison with the Dept. of Justice and other law enforcement agencies.

17.	<u>Audit and Inspection Files</u> Case files of internal audits and inspections and special projects of an audit or inspection nature initiated by the Office of Inspection and Auditor or requested by NRC management covering all aspects of agency operations both financial and programmatic. Included are audit and inspection reports and related records.	Hold closed cases in office 1 year after closing, then transfer to WNRC. Destroy 5 years after cases are closed.
18.	<u>Investigation Files</u> Case files containing reports and related records on investigations of irregularities, the integrity of all	

NRC SCHEDULE 2

RECORDS OF THE COMMISSION

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	NRC operations, employee misconduct, EEO and civil rights complaints, tort and personal property loss claims, and possible criminal activities, including the review of the Office of Inspection and Enforcement inspections and investigations for possible criminality. Also included are special investigations done at the request of NRC management officials.	
a)	EEO Cases.	See GRS 1, Item 26 for authorized disposition
b)	Cases relating to licensees, applicants, and their contractors and suppliers.	Disposition is to be made in accordance with the authorized disposition for Item 6.a) of NRCS 4. For those cases where Item 6.a) does not apply, dispose in accordance with Item 18 c) below.
c)	Other cases	Hold closed cases in office 4 years after closing, then transfer to WNRC. Destroy 10 years after cases are closed.

PART 7. OFFICE OF POLICY EVALUATION

The Office of Policy Evaluation provides overall planning and management of activities involved in performance of an independent review of positions developed by the NRC staff which require policy determinations by the Commission; conducts analyses and projects either self-generated or requested by the Commission.

19. Evaluation Background Files

Correspondence, working papers and reference files pertaining to the Office's evaluation of NRC staff positions preparatory to submission of final paper or product to the Commission. Final papers on products are filed in the program correspondence files of the Secretariat (NRC Schedule 1, Item 15.a)).

Destroy when no longer needed.

NRC SCHEDULE 3

RECORDS OF THE ADVISORY COMMITTEE ON REACTOR SAFEGUARDS

The Advisory Committee on Reactor Safeguards reviews safety studies and applications for construction permits and facility operating licenses, and makes reports thereon; advises the Commission with regard to hazards of proposed or existing reactor facilities and the adequacy of proposed reactor safety standards; upon request of the Department of Energy (DOE), reviews and advises with regard to the hazards of DOE nuclear activities and facilities; reviews any generic issues or other matters referred to it by the Commission for advice. On its own initiative may conduct reviews of specific generic matters or nuclear facility safety-related items. Conducts studies of reactor safety research, prepares, and submits annually to the U.S. Congress a report containing the results of such study.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>General Program Correspondence Files</u>	Apply the applicable disposition standards contained in NRCS #1, Part 2, subject to the record-keeping requirements imposed by the Federal Advisory Committee Act (PL-92-463).
2.	<u>ACRS Members Personnel Files</u> Records pertaining to the background of individual members of the Committee and containing information on their activities during their membership with the Committee.	Retain for life of committee, then destroy immediately.
3.	<u>Minutes of the Committee</u>	
	a) Complete set of formal minutes of general and subcommittee meetings with all attachments. Arranged chronologically.	Permanent. Offer to NARS when 20 years old.
	b) Silver master of microfiche minutes prepared (without all attachments and containing some deletions) for Public Document Room use.	Destroy when no longer needed.
	c) Reference copies of microfiche.	Destroy when no longer needed.

NRC SCHEDULE 3

RECORDS OF THE ADVISORY COMMITTEE ON REACTOR SAFEGUARDS

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
4.	<p><u>Transcripts of ACRS Meetings</u></p> <p>Transcripts of verbatim accounts of all general and subcommittee meetings.</p> <p>a) Paper copies of transcripts</p> <p style="margin-left: 100px;"><i>and diazo duplicates</i></p> <p>b) Silver master₁ of microfiche copies of transcripts</p> <p>c) Reference copies of microfiche</p>	<p>Destroy when microfiche copies have been determined to be an adequate substitute for original records.</p> <p>Permanent. Offer to NARS when two years old.</p> <p>Destroy when no longer needed.</p>
5.	<p><u>Committee Files on Regulation Guidelines</u></p> <p>Correspondence, memoranda, and reports pertaining to committee and public comments on the formulation of all NRC regulations relating to nuclear operating standards. Arranged numerically by NRC Regulatory Guide number.</p>	<p>Permanent. Offer to NARS when 20 years old.</p>
6.	<p><u>Consultant Personnel Files</u></p> <p>Correspondence, reports, and other records pertaining to the qualifications and employment of outside technical advisors or consultants under contract with ACRS.</p>	<p>Destroy 10 years after termination of contract.</p>
7.	<p><u>Reports of Consultants</u></p> <p>Reports submitted by advisory consultants, pertaining to various aspects of nuclear reactor safety.</p> <p>a) Silver master and one diazo copy for each formal report</p> <p>b) Extra copies of reports in paper or microfilm form.</p>	<p>Permanent. Offer to NARS when 20 years old.</p> <p>Destroy when no longer needed for reference.</p>

NRC SCHEDULE 3

RECORDS OF THE ADVISORY COMMITTEE ON REACTOR SAFEGUARDS

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8.	<p><u>Annual Reports of the ACRS to the U.S. Congress</u></p> <p>Reports pertaining to ACRS evaluation of the effectiveness of NRC effort in reactor safety research issued as NUREG document and retained permanently in microfiche form (See NRCS1, Item 35 ^{36a}).</p>	
	a) Paper copies of annual reports	Destroy when microfiche copies have been determined to be an adequate substitute for original records
	b) reference copies of microfiche	Retain for life of Committee
9.	<p><u>Nuclear Reactor Project Files</u></p> <p>Case files on individual nuclear reactors including correspondence memoranda, studies, reports, and analyses pertaining to nuclear safety-related matters. Arranged alphabetically by name of reactor.</p>	Permanent. Offer to NARS 10 years after termination of license.
10.	<p><u>Nuclear Power Plant Docket Files</u></p> <p>Official records documenting licensing of the construction and operation of commercial nuclear reactors for power generation pursuant to Parts 2, 20, 50, 100 and 140 of Title 10, Code of Federal Regulations. Material consists of individual applicant case files, identified by assigned docket numbers, containing copies of all documents received or generated in the review, evaluation, and authorization stages of the licensing process. Sources of documents included in case files are: applicant utility organization; NRC/Regulatory Offices; Federal and State agencies; safety boards and committees; private organizations and parties; intervenors, and individuals commenting on licensing actions.</p>	Maintain for life of Committee.

NRC SCHEDULE 3

RECORDS OF THE ADVISORY COMMITTEE ON REACTOR SAFEGUARDS

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
11.	<u>Classified Defense Information File</u> Reports, correspondence and other records pertaining to DOD reactors and to DOE production facilities. Arranged by subject.	Permanent. Offer to NARS when 20 years old.

NRC SCHEDULE 4

RECORDS OF EXECUTIVE OPERATIONS

The operational activities of NRC carried out by several program and staff offices, are supervised and coordinated by the Executive Director for Operations (EDO). The EDO is also responsible for implementation of Commission policy directives pertaining to all program and staff offices reporting to him.

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

PART 1. RECORDS OF THE OFFICE FOR ANALYSIS AND EVALUATION OF OPERATIONAL DATA

The Office for Analysis and Evaluation of Operational Data is responsible for assuring the proper analysis of operational data associated with all NRC-licensed activities and the feedback of such analyses to improve safety. This office identifies key analyses to be conducted, taking into account such factors as postulated accident sequences and data availability; selects appropriate analytical techniques and propose data gathering mechanisms for data not currently available; conducts systematic safety analyses and evaluations of operational data to seek trends that would forecast a potential problem; develops recommendations to resolve problems revealed by operational data analyses and evaluations; provides analytical guidance to, accept technical input from, and coordinate efforts of, operational data analysis groups in other NRC offices; reviews overall NRC and industry response to assess implementation of recommended actions; and serves as focal point for interaction with ACRS and industry groups involved in operational data analysis and evaluation.

1. Operational Data and Information Screening Files

Files consist of document control sheets describing AEOD's review of Licensee Event Reports (LERs) and other operational data and information submitted for final review.

Destroy when five years old or one year after completion of formal case study, whichever occurs first.

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 LERs by AEOD engineers. Arranged numerically by case study number.

Permanent. Offer to NARS when 20 years old.

NRC SCHEDULE 4

RECORDS OF EXECUTIVE OPERATIONS

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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PART 2. RECORDS OF THE OFFICE OF THE EXECUTIVE LEGAL DIRECTOR

The Office of the Executive Legal Director provides the Executive Director for Operations and Offices reporting to the EDO with legal opinions and advice with respect to all activities of the NRC; provides interpretation of laws, regulations and other sources of authority, and the legal form and content of proposed official actions; represents and protects the interests of NRC in administrative proceedings before other administrative bodies; prepares or concurs in all contractual documents, interagency agreements, delegations of authority, regulations, orders, licenses, and other legal documents, and prepares legal interpretations thereof; reviews and directs patent work; represents the NRC in legal matters with government agencies, foreign governments, or the public, except for those matters specifically delegated to the General Counsel.

3. Patent and Technical Data Files

- | | | |
|----|---|---|
| a) | Invention docket containing copy of invention disclosure and pertinent correspondence. | Destroy 10 years after file is closed. |
| b) | Case files of U.S. patent applications containing record of invention disclosure, record of invention, draft of patent application with inventor's notes, copy of patent application as filed in Patent Office, pertinent correspondence, amendments, reports, and references as follows. | |
| | 1) Abandoned patent applications | Destroy 10 years after application is abandoned |
| | 2) Issued patents | Destroy 25 years after patent is issued. |
| c) | Files on contracts, subcontracts, and purchase orders containing miscellaneous correspondence and related papers | Destroy 10 years after patent clearance. |

NRC SCHEDULE 4

RECORDS OF EXECUTIVE OPERATIONS

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	pertaining to negotiation of contract patent provisions, inventions or discoveries conceived under contract, reports and papers reviewed for patent clearance, and patent clearance of terminated contracts.	
d)	License agreement and assignment files containing license agreements and assignments in U.S. patents and pertinent correspondence regarding execution of license agreements and royalty payments.	Destroy 25 years after issuance of patent.
e)	Patent Agreement Forms, "Agreement Covering Discoveries, Inventions, and Improvements," signed by all employees at time of employment.	Destroy when 56 years old.
f)	Docket files containing findings determinations, and statements of reason, decisions, backup material, and correspondence with the Patent Compensation Board, U.S. Court of Appeals, and U.S. Court of Claims.	Destroy when 25 years old.
g)	Infringement files containing copies of patents which have been or possibly might be infringed; pertinent correspondence regarding use of patented process, device, or material; copies of purchase orders and other backup material; Court of Claims petitions and actions.	Destroy when 30 years old.
h)	Case files containing correspondence with contractors regarding U.S. patent applications referred for review under sections 151 and 152 of the Atomic Energy Act.	

NRC SCHEDULE 4

RECORDS OF EXECUTIVE OPERATIONS

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	1) 151 "C" Reports and Applications	Destroy 25 years after date of last action.
	2) 152 Applications	Destroy 10 years after patent expires.
	i) Ledgers and log record showing invention disclosures reported date, disposition, and U.S. office actions.	Destroy 10 years after last entry.

PART 3. RECORDS OF THE OFFICE OF SMALL AND DISADVANTAGED BUSINESS UTILIZATION

The Office of Small and Disadvantaged Business Utilization develops and implements, in cooperation with the Director, Division of Contracts and Directors of other affected Offices, specific policies and procedures to carry out the functions and duties of Sections 8 and 15 of the Small Business Act and Executive Order 12138, as they relate to the NRC. Provides focus for NRC efforts to assist small businesses, small businesses owned by socially or economically disadvantaged individuals, women-owned businesses, and firms in labor surplus areas.

4. General Files

General correspondence, memoranda, reports, and other records pertaining to the implementation of the office's program of assisting small and disadvantaged businesses or required by amendments to the Small Business Act of 1958.	Destroy when 5 years old. Cut off file annually.
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PART 4. INSPECTION AND ENFORCEMENT RECORDS

The records described in this schedule document the development of policies and implementation of programs for inspection and investigation of licensees, applicants, and their contractors and suppliers to: ascertain whether they are complying with NRC regulations, rules, orders and license conditions; identify conditions that may adversely affect public health and safety, the environment, or the safeguarding of nuclear materials and facilities; provide a basis for recommending issuance or denial of an authorization, permit or license; determine whether quality assurance programs meet NRC criteria; and recommend or take appropriate action regarding incidents or accidents. The records also document the development of policies and implementation of a program of enforcement action through the Headquarters and Regional offices.

NRC SCHEDULE 4

RECORDS OF EXECUTIVE OPERATIONS

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
5.	<u>I&E Issuance Files</u>	
	a) I&E Headquarters official or record set of formal issuances prepared by I&E staff consisting of I&E Circulars, Bulletins, and Information Notices.	Permanent. Offer to NARS when 20 years old.
	b) Regional office copies and other copies of issuances.	Destroy when no longer needed.
6.	<u>Inspection and Enforcement Case Files</u>	
	Files documenting the inspection activity and action relating to power reactors, byproduct, source and special nuclear material licensees, including copy of license, inspection and followup reports, inspectors' notes, enforcement action documents, final certification that premises are free of radiological contamination, and related documentation.	
	a) Official Case Files located in I&E Headquarters Office determined by the NRC or the NARS to have exceptional value because of the highly significant nature of their contents or their uniqueness. Included are those inspection files that relate to the docket records to be retained as archives identified in NRC Schedule 1, Item 20.a) i.e., those files that:	Permanent. Offer to NARS 20 years after termination of license.
	1. result in judicial decisions or legislation that affect the functions and activities of NRC;	
	2. result in significant changes in regulatory activities and procedures; or	

NRC SCHEDULE 4

RECORDS OF EXECUTIVE OPERATIONS

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	3. were the subject of Congressional investigation or were of great public interest.	
b)	Other case files in I&E ^{Regional} Headquarters Offices except those described in 1) through 4) below.	Retire to WNRC after final certification. Destroy 10 years after final certification.
	1) Inspection Case Files of licenses under NRC jurisdiction which are allowed to expire or are terminated or superseded and not covered by 6.b,2) below.	Destroy 3 years after final certification.
	2) Unique or special cases and/or cases where licensees are required to make extensive decontamination efforts as a result of I&E clearance survey.	Destroy 20 years after final certification.
	3) Case files of both I&E Headquarters and Regional offices, consisting of material remaining after files are transferred to a State under agreement covering transfer of regulatory function.	Destroy 1 year after official file is transferred
	4) All other inspection case files	Destroy 1 year after final certification
c)	Copies of Case Files located in I&E Regional Offices <u>Headquarters</u>	Destroy 1 year after final certification.
d)	All Other Copies in I&E Headquarters and Regional Offices or NMSS:	Nonrecord. Destroy when 1 year old or earlier if no longer needed.

NRC SCHEDULE 4

RECORDS OF EXECUTIVE OPERATIONS

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
7.	<p><u>Preliminary Notification of Event or Unusual Occurrence</u> <u>PNO, PNS Files</u></p> <p>Headquarters and Regional office copies of preliminary reports to I&E Headquarters offices prepared by regional inspectors and I&E Headquarters constituting early notice of any significant event of possible safety or public interest. The information contained in reports is as initially received by telephone or other informal notification without verification of evaluation.</p>	<p>Destroy when 4 years old.</p>
8.	<p><u>I&E Manual</u></p> <p>Record copy of the I&E Manual including all changes thereto.</p>	<p>Permanent. Offer to NARS at periodic intervals when superseded or obsolete.</p>
9.	<p><u>Safeguard Status Reports</u></p> <p>Monthly computer printouts containing an inventory of all nuclear material located in NRC licensed facilities throughout the United States. Reports are derived from information furnished by regional inspectors.</p>	<p>Destroy when superseded by new report.</p>
10.	<p><u>Reports of Defects or Non-Compliance (Part 21 Reports)</u></p> <p>Numbered reports pertaining to non-compliance of law and regulations or defect made by a director or responsible officer of a firm constructing, owning, operating or supplying the components of any facility which is licensed or regulated by law. Reports are required by 10 CFR Part 21.</p>	<p>Destroy two years after matters reported have been resolved.</p>
11.	<p><u>I&E Daily Reports</u></p> <p>Reports containing items of interest proposed by I&E staff and distributed</p>	<p>Destroy when 6 months old.</p>

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	to I&E staff at both headquarters and field levels and other selected NRC offices, containing management information of interest to staff. Report is required by I&E Manual.	
12.	<u>Nuclear Material Accountability Worksheets</u> Worksheets maintained by regional inspectors in accounting for nuclear materials located at NRC licensed facilities.	Destroy when superseded or no longer needed.
<u>PART 5. INTERNATIONAL PROGRAM RECORDS</u>		
The records described in this schedule document the planning, development, and implementation of programs of international cooperation and licensing of nuclear exports and imports, and the formulation of policies concerning nuclear exports and imports, international safeguards, and nonproliferation matters.		
<u>EXPORT/IMPORT AND INTERNATIONAL SAFEGUARDS RECORDS</u>		
13.	<u>Country Files</u> Files on individual foreign countries, including correspondence and other documents pertaining to international safeguards in handling nuclear materials, components and facilities, analyses of physical security, and agreements for cooperation. Filed alphabetically by name of country.	Permanent. Offer to NARS when 20 years old.
<u>INTERNATIONAL ARRANGEMENTS RECORDS</u>		
14.	<u>Country Files</u> Case files containing correspondence, studies, analyses, and copies of formal bi-lateral arrangements documents pertaining to NRC formal arrangements. Program to exchange	Permanent. Offer to NARS 10 years after file becomes inactive.

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	nuclear regulatory and safety information and to cooperate on the development of regulatory and safety standards. Also included are copies of research agreements and related correspondence.	
15.	<u>Formal Arrangement and Agreement Files</u> Signed bi-lateral arrangement documents and original research agreements with foreign governments. Arranged alphabetically by name of foreign country.	Permanent. Cut off file when arrangement expires. Offer to NARS 10 years after expiration of arrangement.
16.	<u>Foreign Visitor Files</u> Correspondence, memoranda, reports, program curricula, biographical data pertaining to the visit to NRC of foreign nationals for the purpose of exchanging information on nuclear safety and safeguards. a) Files on incidental visitors b) Files on visitors who have long term (3 to 6 months or longer) assignments working with NRC.	Destroy when 5 years old. Cut off files annually. Destroy 10 years after termination of assignment.
17.	<u>International Organization Files</u> Correspondence, memoranda, reports, and other records pertaining to NRC involvement with international organizations regarding nuclear safeguards. Arranged alphabetically by name of organization.	Permanent. Cut off file when NRC involvement with organization terminates. Offer to NARS 10 years later or sooner if purpose has been served.
18.	<u>Files of Department of State Cables and Atomic International Forum Wires</u> Copies of State Department cables and AIF wires relating to nuclear regulations and safeguards sent to NRC for information.	Destroy when 1 year old. Cut off files annually.

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PART 6. NUCLEAR MATERIAL AND SAFEGUARDS RECORDS

The records described in this schedule document NRC responsibility for ensuring public health and safety, protection of the national security, and protection of environmental values in the licensing and regulation of all facilities and materials licensed under the Atomic Energy Act of 1954, as amended, associated with the processing, transport and handling of nuclear materials, including the review and assessment of their safeguards against potential threats, thefts and sabotage.

19. Process Operator License Files

Case files documenting the licensing of process operators in reprocessing plants including new and/or renewal applications, medical certificates, licenses and amendments, examinations and results, and related correspondence, including denial information.

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| a) | Latest applications and related correspondence, license, examinations and results; all medical certificates and data; and all examiners reports. | 4 years after expiration or termination of license or issuance of denial letter. |
| b) | Superseded applications and related correspondence, licenses, examinations and results; denial letters. | 2 years or when superseded, whichever is later. |

20. Certificate of Compliance Files

Original of NRC Certificates of Compliance documenting approval of licensee transportation of radioactive materials package design under 10 CFR Part 71. These certificates are published by NRC and a copy of all certificates are filed in applicable docket file (Item 1 above).

Retain current certificates in notebook. Destroy when certificates are revised.

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21.	<p><u>Quality Assurance Files</u></p> <p>Originals of NRC 311 or its equivalent documenting NRC determination that licensee meets requirements of Sec. 71.51 of 10 CFR (Quality Assurance Program on Radioactive Material Packages).</p>	<p>Destroy 5 years after termination of license.</p>
22.	<p><u>Safety Evaluation Reports</u></p> <p>NRC narrative reports and revisions describing actions taken by applicants and NRC an individual aspects of radioactive material package design under the requirement of 10 CFR Part 71.</p>	<p>Destroy in accordance with the authorized disposition for Item 22.a and b of NRC Schedule 1.</p>
23.	<p><u>Sealed Source and Device Review Files</u></p> <p>Case files which document NRC review and approval of the design of sealed sources and/or devices containing licensed radioactive materials. A certificate or registration for sealed sources and/or devices is issued when the design is considered acceptable for licensing. Included are copies of applications, Certificates of Registration, safety analysis summaries and related correspondence.</p>	<p>Destroy in accordance with authorized disposition for Item 22.a) and b) of NRC Schedule 1.</p>
24.	<p><u>International Safeguards Program Office</u></p> <p>ISPO Files Copies of reports developed by U.S. contractors under the Program for Technical Assistance to IAEA Safeguards (POTAS). The ISPO is a part of the Brookhaven National Laboratory and is responsible for coordinating the comments and development process of the POTAS reports. Also included in the files are correspondence</p>	<p>Permanent. Offer to NARS when 20 years old.</p>

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	between ISPO and NRC, DOE and DOJ and NRC response to ISPO requests for comments on draft reports and copies of final reports.	
25.	<u>Source and Special (SS) Material Accountability System Files</u>	
	a) <u>SS Transfer Journals</u> maintained by accountability stations as a continuing control record of contractor's inventories, to which are posted receipts and shipments of SS materials.	3 years after date of last entry.
	b) <u>SS Material Transfer Files</u> (inter and intraplant transfers), consisting of records utilized to account for transfers from one unit to another within production plants or facilities, or between such plants.	3 years.
	c) <u>SS Material Shipping Form Files</u> consisting of DOE/NRC Forms DP-741 or equivalent, used in the transfer of source and special nuclear materials, or other special nuclear materials, or other material controlled by the SS Materials Accountability System at Oak Ridge National Laboratory.	3 fiscal years.

PART 7. NUCLEAR REACTOR REGULATION RECORDS

The records described in this schedule document the NRC licensing functions associated with construction and operation of nuclear reactors and with receipt, possession, ownership, and use of special nuclear and byproduct material used at reactor facilities; the review of applications and issue of licenses for reactor facilities required to be licensed under the Atomic Energy Act of 1954, as amended, and the evaluation of health, safety, and environmental aspects of facilities and the development of sites; regulations; the analysis of reactor design concepts; the evaluation of methods of transporting nuclear materials and radioactive wastes on reactor sites; and the monitoring and testing of operating reactors, recommending upgrading of facilities and modification of regulations, as appropriate.

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26.	<p><u>Antitrust Case Files</u> Files consist of copies of licensee applications with antitrust information on applicant, correspondence with the Office of the Executive Legal Director and Department of Justice relating to findings on the applicant's financial background.</p>	<p>Destroy 20 years after license is approved.</p>
27.	<p><u>Reactor Operator and Senior Operator Docket Files</u> Case files documenting the licensing of reactor operators and senior reactor operators including new and/or renewal applications, medical certificates, licenses and amendments, examination and results, related correspondence, including denial information.</p>	
	<p>a) Latest applications and related correspondence, license, examinations and results, all medical certificates and data; and all examiners reports.</p>	<p>Destroy 4 years after expiration or termination of license or issuance of denial letter.</p>
	<p>b) Superseded applications and related correspondence, licenses, examinations, and results; denial letters.</p>	<p>Destroy when 2 years or when superseded, whichever is later.</p>

PART 8. RESEARCH RECORDS

The records on this schedule document the planning and implementation of the programs of nuclear regulatory research which the Commission deems necessary for the performance of its licensing and related regulatory functions.

28.	<p><u>Scientific and Technical Reports</u> These are published and unpublished scientific and technical reports, as defined in NRC Manual 3202.</p>	
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	a) Record copy officially designated by the originating NRC office or contractor.	
	1) published reports	See NCRS 1, Item ^{36a} 36 for authorized disposition
	2) unpublished reports	Permanent. Offer to NARS in annual blocks when 20 years old.
	b) All other copies	Destroy when no longer needed for reference.
29.	<u>Field Test Files</u> Records that are accumulated at test sites and consisting of various types of motion picture films, oscillograms, magnetic tapes, etc., on which are recorded raw or unevaluated data; and evaluation data resulting from study of above material, including memoranda, graphs, tabulations, reports, and related papers referred to collectively as "Reduced Data."	
	a) Raw test data, consisting of Mitchell camera film, Askania phototheodolite film, and Fastex film; trajectory data oscillograms, telemetry oscillograms, and magnetic tapes.	Destroy when 5 years old or 1 year after completion of final evaluation report of test project, whichever comes first.
	b) Reduced data as described above.	Destroy when no longer needed
30.	<u>Rejected Research Project Proposals</u> Rejected proposals for research projects consisting of unsolicited contract proposals from individuals and organizations which on evaluation by NRC were determined to be	Destroy 2 years after rejection

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	unacceptable and were subsequently rejected.	
31.	<u>Research Program Files</u> Program files consisting of various documents, data, and correspondence accumulated by divisions and offices responsible for the formulation, planning, direction, review, and evaluation of research and development in assigned areas.	Permanent offer to NARS when 20 years old.
32.	<u>Research Project Case Files</u> Project Case Files reflecting the history of a project from initiation to completion, including research, design, and test results. Included are records such as: project proposal; review memoranda and comments; project authorizations and directives; copies of unpublished manuscripts, journal articles, and conference papers; progress reports; correspondence influencing the direction of the project; and lists of publications and films resulting from the project. a) Case files deemed by the NRC, contractor, or the National Archives and Records Service 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.	Permanent. Offer to NARS in annual blocks when 20 years old.

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	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.	
	5. result in significant changes in regulatory activities and functions of the NRC.	
	b) All other case files.	Destroy when 15 years old.
33.	<u>Experiment and Test Files</u> Experiment and test records for research projects, as follows:	
	a) Record print of edited still and motion picture film resulting from experiments and tests.	Permanent. Offer to NARS when 20 years old.
	b) Raw test data consisting of instrumentation material such as film recorded charts, graphs, tapes, etc.	Destroy when 5 years old
	c) Plans and procedures for conducting the experiment or test.	Destroy when 5 years old.
34.	<u>Laboratory Notebooks</u> Scientists' notebooks containing scientific and technical data resulting from research work, as follows:	

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	a) Notebooks containing data determined by competent scientific or technical personnel either to be duplicated in technical reports or elsewhere in project case files, or to be of such a routine or fragmentary nature that their retention would not add significantly to the project file except those described in 1) below.	Destroy 6 months after completion or termination of the related project(s).
	1) Notebooks containing data essential in establishing patent or invention rights.	Destroy when 25 years old or 6 months after completion or termination of the related project(s) whichever is later.
	b) All other notebooks.	Permanent. Offer to NARS 10 years after completion or termination of the related project(s).
35.	<u>Research Background Files</u> Records which are background papers and data which serve as backup to laboratory notebooks and scientific and technical reports.	
	a) Source data files, punch cards magnetic tapes, computer print-outs, recorder charts, preliminary drawings, film, questionnaires, surveys, etc., used to collect and assemble data of a preliminary or intermediate character generated from such processes as experiments or observations of a routine, repetitive nature and used for reference in arriving at determinations in the conduct of research projects.	Destroy when the program manager determines that the records have no probable value.

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	b) Summary data, and/or records reflecting significant findings or containing scientific data not duplicated elsewhere which serve as backup for notebook entries and/or reports.	Destroy when 7 years old.
36.	Original tracings of drawings, specifications, and photographs of completed product or apparatus.	Permanent. Offer to NARS in annual blocks when 20 years old.

PART 9. STANDARDS AND POLICY DEVELOPMENT RECORDS

The records in this schedule document the development and recommendation of rules, regulations and standards, and guides pertaining to: (a) radiological health, nuclear safety, and environmental protection related to licensed activities in siting, design, construction, and operation of nuclear reactors, other production and utilization facilities, and storage, processing, transfer and use of nuclear materials; and (b) physical protection of production and utilization facilities and nuclear materials subject to licensing, and safeguarding of nuclear materials held by NRC licensees. The records also pertain to the technical advice and assistance provided to the Commission and NRC Offices by the Office of Standards Development on matters concerning public health and safety related to facilities and nuclear materials subject to licensing; environmental impact of construction and operation of facilities subject to licensing and of other licensed activities; and safeguarding and security of facilities and nuclear materials; and the coordination of the Commission's participation in IAEA standards-related activities. The Office of Standards Development also serves as the principal point of contact for Commission with the American National Standards Institute and other organizations on matters concerning nuclear standards.

37.	<u>Nuclear Safety Standards Program Files</u> 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 formally published as NRC Regulations NUREGS, Guides or Technical Specifications, which are retained permanently in microfiche form (See NRCS1, Item 35 36).	Destroy when 20 years old.
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PART 10. STATE PROGRAM RECORDS

The records in this schedule document the review and direction of NRC programs of cooperation and liaison with States, local governments, and interstate organizations and the administration of the State Agreements program; NRC guidance and assistance to State and local governments in radiological emergency response planning and operations and training for State and local government personnel in radiation control and radiological emergency response programs; The records also pertain to the coordination of the development of NRC national emergency preparedness program and cooperation with other U.S. Government agencies having State and interstate responsibilities in this area.

38. Agreement State Files

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| a) | Copies of State enabling legislation cooperative agreements between NRC and State government agencies, and Commission papers on the Agreements. | Permanent. Offer to NARS 5 years after any revocations or termination of agreement. |
| b) | Review meeting reports and correspondence with individual Agreement States. | Permanent. Offer to NARS when 5 years old. |

39. Non-Agreement State Files

Copies of State Acts pertaining to nuclear regulatory matters and related correspondence with individual non-Agreement States.	Destroy when 10 years old.
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40. Health Training Files

Correspondence and reports pertaining to the presentation of and attendance at individual NRC-sponsored training courses for Agreement State personnel. Courses pertain to radiation control and radiological response programs.	Destroy when 3 years old or sooner if purpose has been served.
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41. State Legislation Files

Copies of proposed State legislation relating to nuclear control and regulations obtained for NRC by	Destroy when no longer needed for reference.
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	contractor. Information is used in the preparation of the Information Report and State Legislation (Item 41 below)	
42.	<u>Information Report on State Legislation</u> Summary report published bimonthly reflecting individual States' legislation pertaining to nuclear regulatory matters.	
	a) Record set of each report maintained by Office of State Programs.	Permanent. Offer to NARS in biannual blocks when 5 years old.
	b) Other copies	Destroy when no longer needed.