

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: N1-431-00-002**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 1/31/2024

### **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Items 1A and 1D are active.

### **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1/B was superseded by N1-431-10-002 / 10.

Items 1/C and 1/E were identified as obsolete by the agency on N1-431-10-002.

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		<b>LEAVE BLANK (NARA use only)</b>	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <b>N1-43/-00-2</b>	
1. FROM (Agency or establishment) <b>U.S. Nuclear Regulatory Commission</b>		DATE RECEIVED <b>9/17/1999</b>	
2. MAJOR SUBDIVISION <b>Office of the Inspector General</b>		NOTIFICATION TO AGENCY  In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER  <b>John Harris</b>	5. TELEPHONE  <b>301-415-5885</b>	DATE <b>5-10-00</b>	ARCHIVIST OF THE UNITED STATES <i>John W. Carl</i>

<b>6. AGENCY CERTIFICATION</b> 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 <u>2</u> 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, <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <span><input checked="" type="checkbox"/> is not required;</span> <span><input type="checkbox"/> is attached; or</span> <span><input type="checkbox"/> has been requested.</span> </div>		
DATE <b>9/13/99</b>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Brenda J. Hillen</i>	TITLE <b>NRC Records Officer</b>

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
1	<p><b>This schedule covers text records of the Nuclear Regulatory Commission (NRC) that pertain to allegations and investigations within the Office of the Inspector General. The schedule replaces in part General Records Schedule 22 that was withdrawn December 1998. NRC will maintain the records in paper form and not in the Agencywide Documents Access and Management System due to their sensitivity and the additional value of paper based evidence.</b></p> <p><b>Investigation Case Files</b></p> <p><b>Case files resulting from Office of the Inspector General investigations of alleged fraud, waste, abuse, and irregularities and violations of laws and regulations. Case files relate to agency personnel and programs, and operations administered or financed by the agency, including contractors and others having a relationship with the agency and used to prepare a concise final report.</b></p> <p><b>a. All final investigation reports.</b></p> <p><b>Permanent. Cut off at close of fiscal year in which report is issued. Hold reports in OIG for 2 years, retire to the NRC Archival Facility for 3 years, then retire to the Washington National Records Center through OCIO. Transfer to NARA 20 years after cutoff.</b></p>		

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Agency NR NWRMD

## REQUEST FOR RECORDS DISPOSITION AUTHORITY -- CONTINUATION

JOB NUMBER

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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><b>b. Investigation case files meeting one or more of the following criteria:</b></p> <p>(1) The subject of the investigation is a Chairman or Commissioner, an agency office director or deputy director, or an other high ranking official reporting to these positions;</p> <p>(2) The case attracts national or regional media attention;</p> <p>(3) The case results in a Congressional investigation; or</p> <p>(4) The case resulted in substantive changes in agency policies and procedures.</p> <p><b>Permanent. Cut off at when case is closed. Hold files in OIG for 2 years, retire to the NRC Archival Facility for 3 years, then retire to the Washington National Records Center through OCIO. Transfer to NARA 20 years after cutoff.</b></p> <p><b>c. Investigation case files that do not meet criteria for permanent retention.</b></p> <p><b>Cut off files when case is closed. Hold files in OIG for 2 years, retire to the NRC Archival Facility for 3 years, then retire to the Washington National Record Center through OCIO. Destroy 10 years after cutoff.</b></p> <p><b>d. Files containing allegations and information of an investigative nature that do not result in the establishment of a formal investigation. The files include vague allegations not warranting an investigation, matters referred to other offices or agencies for handling, and support files providing general information which may prove useful in Inspector General investigations.</b></p> <p><b>Cut off files upon close of fiscal year. Destroy 5 years after cutoff.</b></p> <p><b>e. Electronic records created or received used as the source to create paper records that are filed in the investigation files. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus, InForms, E-mail, etc.) and electronic records received internally and from outside the agency.</b></p> <p><b>Create paper record of the electronic document on the day created or received or as soon as practical and file in appropriate official files. Destroy electronic version immediately after creating official record copy or when no longer needed for reference or updating.</b></p>		