

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408	
1. FROM (Agency or establishment) U.S. Nuclear Regulatory Commission	
2. MAJOR SUBDIVISION Office of Investigations	
3. MINOR SUBDIVISION	
4. NAME OF PERSON WITH WHOM TO CONFER John Harris	5. TELEPHONE 301-415-5885

LEAVE BLANK (NARA use only)	
JOB NUMBER NI-431-00-12	
DATE RECEIVED 11.15.99	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
DATE 12-28-01	ARCHIVIST OF THE UNITED STATES <i>John W. Carr</i>

6. AGENCY CERTIFICATION
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 16 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

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

DATE 11/5/99	SIGNATURE OF AGENCY REPRESENTATIVE <i>Brenda J. Shelton</i>	TITLE NRC Records Officer
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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p>Agencywide Documents Access and Management System (ADAMS) Programmatic Records of the NRC Office of Investigations.</p> <p>ADAMS is an electronic information system that maintains the Nuclear Regulatory Commission's (NRC's) unclassified official programmatic and administrative records in a centralized electronic document repository. ADAMS is designed to meet all National Archives and Records Administration (NARA) regulations to ensure NARA approval of ADAMS as an official electronic recordkeeping system. Beginning January ^{April} 1, 2000, NRC headquarters and regional offices will no longer create or maintain paper-based record collections because the electronic documents in ADAMS will become the "official records" of the agency. The "official record" of documents maintained in ADAMS is a Portable Document Format (PDF) file or a Tagged Image File Format (TIFF) file with an associated document profile containing "fielded" data to describe the document and its attributes. In addition, any electronic data related to a digital signature and/or electronic data that evidence final NRC management and staff concurrence in a document is linked to and considered part of the official record.</p> <p>Records disposition schedules for the NRC records maintained in ADAMS are divided into two broad groups:</p> <ol style="list-style-type: none"> 1) Programmatic records created or received by each individual NRC office 2) Administrative records created or received by any NRC offices 		

7 ITEM NO.	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>The records disposition schedules for the administrative records series of all NRC offices are under development for later submittal to NARA.</p> <p>The records disposition schedules for the programmatic records series of each NRC office will be submitted to NARA under separate SF 115 for each office.</p> <p>This SF 115 pertains to the programmatic records of the NRC Offices of Investigations.</p>		

REQUEST FOR RECORDS DISPOSITION AUTHORITY		1 <input checked="" type="checkbox"/> BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-431-00-12	
1. FROM (Agency or establishment) U.S. Nuclear Regulatory Commission		DATE RECEIVED	
2. MAJOR SUBDIVISION Office of Investigations		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION		In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
4. NAME OF PERSON WITH WHOM TO CONFER John Harris	5. TELEPHONE 301-415-5885	DATE	ARCHIVIST OF THE UNITED STATES

6 AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 16 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,		
<input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.		
DATE 11/05/99	SIGNATURE OF AGENCY REPRESENTATIVE Brenda Jo. Shelton /SI; Revised 03/22/00	TITLE NRC Records Officer

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDE D JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p>Agencywide Documents Access and Management System (ADAMS) Programmatic Records of the NRC Office of Investigations.</p> <p>ADAMS is an electronic information system that maintains the Nuclear Regulatory Commission's (NRC's) unclassified official programmatic and administrative records in a centralized electronic document repository. ADAMS is designed to meet all National Archives and Records Administration (NARA) regulations to ensure NARA approval of ADAMS as an official electronic recordkeeping system. Beginning April 1, 2000, NRC headquarters and regional offices will no longer create or maintain paper-based record collections because the electronic documents in ADAMS will become the "official records" of the agency. The "official record" of documents maintained in ADAMS is a Portable Document Format (PDF) file or a Tagged Image File Format (TIFF) file with an associated document profile containing "fielded" data to describe the document and its attributes. In addition, any electronic data related to a digital signature and/or electronic data that evidence final NRC management and staff concurrence in a document is linked to and considered part of the official record.</p> <p>Records disposition schedules for the NRC records maintained in ADAMS are divided into two broad groups:</p> <ol style="list-style-type: none"> 1) Programmatic records created or received by each individual NRC office 2) Administrative records created or received by any NRC offices 		

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	<p>The records disposition schedules for the administrative records series of all NRC offices are under development for later submittal to NARA.</p> <p>The records disposition schedules for the programmatic records series of each NRC office will be submitted to NARA under separate SF 115 for each office.</p> <p>This SF 115 pertains to the programmatic records of the NRC Office of Investigations.</p>		

RECORDS OF THE OFFICE OF INVESTIGATIONS
PROGRAMMATIC RECORDS

	PAGE NO.
Item 1 General Program Correspondence Files (Subject Files)	4
Item 2 Investigation Case Files	8
Item 3 Investigation Procedures Manual and Investigative Guidance	13
Item 4 Legal Interpretations	15

ADAMS RECORDS SCHEDULES
OFFICE OF INVESTIGATIONS

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA- APPROVED <u>CITATION</u>
1.	<p><u>General Program Correspondence Files (Subject Files).</u></p> <p>Letters, memoranda, messages, studies, reports, forms, and other data documenting and/or implementing plans, policies, procedures, accomplishments, opinions, and decisions pertaining to Office of Investigations (OI) program and staff activities.</p> <p>a. <u>Program Correspondence Files at the Office Director Level.</u></p> <p>Files that document policy-making decisions or significant OI program management functions that are signed by or addressed to the OI Director. Excluded is program correspondence that documents routine transactions for which the record content is summarized or duplicated in higher level documents. (See item c. below.)</p>		
	<p>(1) Paper records created before 04/01/2000.</p>	<p>Permanent. Cut off at close of fiscal year. Hold 2 years and retire to the Washington National Record Center through OCIO. OCIO will transfer to NARA when 20 years old.</p>	<p>NC1-431-81-5 Item 1.2.15.a (NUREG-0910 NRCS 1-2.2.a)</p>
	<p>(2) Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.</p>	<p>Destroy paper documents 2 months after creation of ADAMS electronic record.</p>	<p>TBD</p>

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA-APPROVED CITATION
(3)	Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and ASCII files that remain with staff members and OCIO processing staff after creation of the ADAMS records. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD
(4)	ADAMS PDF and TIFF files.	<p>Permanent. Cut off electronic files at close of fiscal year. Convert image files to paper, microform, magnetic tape, 3480 class tape cartridge, or any other medium and format that meets NARA regulations found in Subchapter B of 36 CFR Chapter XII and transfer to NARA 2 years after cutoff. Prior to transfer, NARA and NRC will determine the medium and format in which the records will be transferred. Destroy NRC copy 18 years after transferring record to NARA.</p> <p><u>PERMANENT.</u> Cut-off electronic files at close of fiscal year. Transfer to the National Archives 2 years after cut-off. At the time of transfer, NARA and NRC will determine medium and format in which records will be transferred as well as their arrangement. Every effort will be made to transfer records electronically in accordance with the standards for permanent electronic records contained in 36 CFR 1228.270 or standards applicable at the time. If transfer in an electronic medium is not feasible, prior to transfer, with NARA concurrence, records will be converted to paper or to microform. Destroy NRC copy 18 years after transferring records to NARA.</p>	TBD
(5)	ADAMS document profiles and ADAMS document packages created for the management, search, and retrieval of the PDF files and TIFF files, and ADAMS data related to digital signatures, and data that	<u>Permanent.</u> Cut off electronic files with related PDF files and TIFF files. Transfer to NARA according to regulations found in 36 CFR § 1228.188 when the PDF files and TIFF files are transferred. Destroy NRC copy	TBD

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
	evidence final NRC management and staff concurrences in documents that are linked to and considered part of the official records.	18 years after transferring record to NARA.	
b. <u>Program Correspondence Files Created or Received Below the Office Director Level.</u>	Files that document policy making decisions, significant or OI program management functions and program operations. They are signed by or addressed to OI management and staff below the OI Director level. Excluded is program correspondence that documents routine transactions for which the record content is summarized or duplicated in higher level documents. (See item c. below.)		
(1) Paper records created before 04/01/2000.		Cut off at close of fiscal year. Hold 2 years and retire to the Washington National Record Center through OCIO. Destroy 10 years after cutoff.	NC1-431-81-5 Item 1.2.15.b (NUREG-0910 NRCS 1-2.2.b)
(2) Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.		Destroy paper documents 2 months after creation of ADAMS electronic record.	TBD
(3) Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and ASCII files that remain with		Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD

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staff members and OCIO processing staff after creation of the ADAMS records. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.

- (4) ADAMS PDF files and their linked native application source files; ADAMS TIFF files and their linked ASCII files; ADAMS document profiles and document packages; and ADAMS digital signature and concurrence data.

Cut off electronic files at close of fiscal year. Destroy 10 years after cutoff.

TBD

c. Routine Program
Correspondence Files Created
or Received at All
Organizational Levels.

Files documenting program transactions of a routine or recurring nature, the record content of which is summarized or duplicated in Item a. or b. above.

- ~~(1) Paper records created before 04/01/2000.~~

~~Destroy when 2 years old, or sooner if purpose has been served.~~

~~NC1-431-81-5
Item 1.2.15.c'
(NUREG-0910
NRCS 1-2.2.c)~~

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA-APPROVED CITATION
(2)	Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Destroy paper documents 2 months after creation of ADAMS electronic record.	TBD
(3)	Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and ASCII files that remain with staff members and OCIO processing staff after creation of the ADAMS records. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD
(4)	ADAMS PDF files and their linked native application source files; ADAMS TIFF files and their linked ASCII files; ADAMS document profiles and document packages; and ADAMS digital signature and concurrence data.	Cut off electronic files at close of fiscal year. Destroy 2 years after cutoff.	TBD

2. Investigation Case Files

Official case files documenting investigations of licensees, applicants, contractors, or vendors and any wrongdoing by individuals other than NRC employees and NRC contractors. Files include statements, interviews, support information relating to the investiga-

withdrawn per NRC letter of 11/20/2000

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tion, interim reports and the reports of investigation. The official record of this series is maintained both in ADAMS and in paper form to ensure availability of evidence and exhibits for adjudication purposes. Paper files contain evidence files and chain of custody records that are not placed in ADAMS. Records are created in the regional field offices and transferred to headquarters for final processing.

Note: Case files for investigations begun prior to 04/01/2000 will be maintained in hard copy only, including related documents created or received after 04/01/2000. Case files for investigations begun on or after 04/01/2000 will be maintained in both ADAMS and hard copy.

a. Official case files created by field investigators and maintained at regional field offices that are selected by NRC because they meet one or more of the following criteria:

- Received wide attention from the news media;
- Was of significant interest to Congress, the White House, or NRC Commissioners;
- Was involved in extensive litigation;
- Was involved in a major policy discussion and/or change in the Office of Investigations or in the Nuclear Regulatory Commission as a whole; and
- Prompted significant changes in designs or procedures by or relating to the nuclear industry.

Withdrawn per NRC letter 1/12/2000

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA-APPROVED CITATION
(1)	Paper records for investigations begun before 04/01/2000 and those created after that date. Note that OI headquarters will discontinue creating paper records that duplicate records placed in ADAMS by OI regional office investigators and rely on ADAMS for access. Note that only case files for investigations begun on or after 04/01/2000 will be maintained in ADAMS.	<u>Permanent.</u> Cut off files when case is closed. Hold in field office for 6 months then forward to headquarters for processing. Headquarters will combine with its files, hold for 2 years, then retire to Washington National Record Center (WNRC). NRC will select cases for archival retention before retiring records to WNRC, using criteria listed above. The cases selected between 1984 and 1992 will be transferred to NARA in 2012 and subsequent 10 year blocks will be transferred at 10 year intervals thereafter.	Supersedes NC1-431-83-6 Item 2.a. to clarify headquarters and field guidance. Also changes initial transfer date from year 2002 to year 2012. (NUREG-0910 NRCS 2-17.2.a)
(2)	Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Return to Official File Station for maintenance and disposition in accordance with item a., above, after ADAMS processing.	TBD
(3)	Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and ASCII files, and to create paper records for hard copy maintenance, that remain with staff members and ADAMS intake and capture processing staff after creation of the ADAMS and paper records. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus,	Destroy after creating ADAMS electronic record and creating paper record for filing at Official File Station, or when no longer needed for reference or updating, whichever is later.	TBD

W: [unclear] per NRC letter of 11/20/2000

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA-APPROVED CITATION
	InForms, e-mail, etc.) and electronic records received from outside the agency.		
	(4) ADAMS PDF and TIFF files.	<u>Permanent</u> . Cut off electronic files when case is closed. Convert image files to paper, microform, magnetic tape, 3480 class tape cartridge, or any other medium and format that meets NARA regulations found in Subchapter B of 36 CFR Chapter XII and transfer to NARA 2 years after cutoff. Prior to transfer, NARA and NRC will determine the medium and format in which the records will be transferred. Destroy NRC copy in 10 year blocks after 20 years coinciding with the transfer of the paper case files.	TBD
	<u>PERMANENT</u> . Cut-off electronic files when case is closed. Transfer to the National Archives 2 years after cut-off. At the time of transfer, NARA and NRC will determine medium and format in which records will be transferred as well as their arrangement. Every effort will be made to transfer records electronically in accordance with the standards for permanent electronic records contained in 36 CFR 1228.270 or standards applicable at the time. If transfer in an electronic medium is not feasible, prior to transfer, with NARA concurrence, records will be converted to paper or to microform.		
	(5) ADAMS document profiles and ADAMS document packages created for the management, search, and retrieval of the PDF files and TIFF files, and ADAMS data related to digital signatures, and data that evidence final NRC management and staff concurrences in documents that are linked to and considered part of the official records.	<u>Permanent</u> . Cut off electronic files with related PDF files and TIFF files. Transfer to NARA according to regulations found in 36 CFR § 1228.188 when the PDF files and TIFF files are transferred. Destroy NRC copy in 10 year blocks after 20 years coinciding with the transfer of the paper case files.	TBD
	b. Other official case files created by field investigators and maintained at regional field offices that do not meet the criteria for permanent retention.	Note: Case files for investigations begun prior to 04/01/2000 will be maintained in hard copy only, including related documents created or	

with Dron per NRC letter 4/20/2000

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

NARA-
APPROVED
CITATION

- received after 04/01/2000. Case files for investigations begun on or after 04/01/2000 will be maintained in both ADAMS and hard copy.
- (1) Paper records for investigations begun before 04/01/2000 and those created after that date. Note that OI headquarters will discontinue creating paper records that duplicate records placed in ADAMS by OI regional office investigators and rely on ADAMS for access. Note also that only case files for investigations begun on or after 04/01/2000 will be maintained in ADAMS.
- Cut off files when case is closed. Hold in field office for 6 months then forward to headquarters for processing. Headquarters will combine with its files, hold for 2 years, then retire to Washington National Record Center (WNRC) through OCIO. Destroy 20 years after cases are closed.
- Supersedes NC1-431-83-6 Item 2.b to clarify headquarters and field guidance. Also to increase retention from 10 years to 20 years.
- (NUREG-0910 NRCS 2-17.2.b)
- (2) Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.
- Return to Official File Station for maintenance and disposition in accordance with item a., above, after ADAMS processing.
- TBD
- (3) Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and to create paper records for hard copy maintenance, that remain with staff members and ADAMS intake and capture processing staff after creation of the ADAMS and paper records. Included are electronic records created internally using office automation tools (e.g.,
- Destroy after creating ADAMS electronic record and creating paper record for filing at Official File Station, or when no longer needed for reference or updating, whichever is later.
- TBD

w. h. Brown per NRC letter 11/20/2000

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA-APPROVED CITATION
	WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.		
	(4) ADAMS PDF files and their linked native application source files; ADAMS TIFF files and their linked ASCII files; ADAMS document profiles and document packages; and ADAMS digital signature and concurrence data.	Cut off electronic files when case is closed. Destroy 20 years after cutoff.	TBD
	c. Headquarter's copy.		
	(1) Paper records for investigations begun before 04/01/2000. Note that OI headquarters will discontinue creating paper records that duplicate records placed in ADAMS by OI regional office investigators and rely on ADAMS for access.	Cut off files when case is closed. Combine with the field office files and process in accordance with items a. and b. above.	Supersedes NC1-431-83-6 Item 2.c to transfer files to headquarters for processing. (NUREG-0910 NRCS 2-17.2.c)
3.	<u>Investigation Procedures Manual and Investigative Guidance</u>		
	OI official record set of formal issuances maintained at NRC Headquarters.		
	a. Paper records created before 04/01/2000.	<u>Permanent.</u> Transfer a complete set to NARA in 2002 and at 10 year intervals thereafter.	Supersedes NC1-431-83-6 Item 3 to revise series title. (NUREG-0910 NRCS 2-17.3)

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
b.	Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Destroy paper documents 2 months after creation of ADAMS electronic record.	TBD
c.	Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and ASCII files that remain with staff members and OCIO processing staff after creation of the ADAMS records. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD
d.	ADAMS PDF and TIFF files.	Permanent. Cut off electronic files at close of fiscal year. Convert image files to paper, microform, magnetic tape, 3480 class tape cartridge, or any other medium and format that meets NARA regulations found in Subchapter B of 36 CFR Chapter XII and transfer to NARA 2 years after cutoff. Prior to transfer, NARA and NRC will determine the medium and format in which the records will be transferred. Destroy NRC copy 8 years after transferring record to NARA.	TBD
e.	ADAMS document profiles and ADAMS document packages created for the management, search, and retrieval of the PDF files and TIFF files, and	Permanent. Cut off electronic files with related PDF files and TIFF files. Transfer to NARA according to regulations found in 36 CFR § 1228.188 when the	TBD

PERMANENT. Cut-off electronic files at close of fiscal year. ~~when NRC involvement terminates.~~ Transfer to the National Archives 2 years after cut-off. At the time of transfer, NARA and NRC will determine medium and format in which records will be transferred as well as their arrangement. Every effort will be made to transfer records electronically in accordance with the standards for permanent electronic records contained in 36 CFR 1228.270 or standards applicable at the time. If transfer in an electronic medium is not feasible, prior to transfer, with NARA concurrence, records will be converted to paper or to microform. Destroy NRC copy 8 years after transferring records to NARA.

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	ADAMS data related to digital signatures, and data that evidence final NRC management and staff concurrences in documents that are linked to and considered part of the official records.	PDF files and TIFF files are transferred. Destroy NRC copy 8 years after transferring record to NARA.	
4.	<u>Legal Interpretations</u>		
	Legal interpretations provided by the Office of General Counsel, Regional Counsels, Department of Labor, and other sources providing guidance or establishing precedents for investigations, and other legal matters pertinent to OI functions.		
	a. Paper records created before 04/01/2000.	<u>Permanent.</u> Cut off at files on ^{3/31/2000} 12/31/99 . Retire to Washington National Records Center thorough OCIO 10 years after cutoff. Transfer to NARA 20 years after cutoff.	TBD
	b. Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Destroy paper documents 2 months after creation of ADAMS electronic record.	TBD
	c. Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and ASCII files that remain with staff members and OCIO processing staff after creation of the ADAMS records. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD

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	records received from outside the agency.		
d.	<p data-bbox="285 436 697 468">ADAMS PDF and TIFF files.</p> <p data-bbox="226 510 764 968"><u>PERMANENT.</u> Cut-off electronic files at close of fiscal year. Transfer to the National Archives 2 years after cut-off. At the time of transfer, NARA and NRC will determine medium and format in which records will be transferred as well as their arrangement. Every effort will be made to transfer records electronically in accordance with the standards for permanent electronic records contained in 36 CFR 1228.270 or standards applicable at the time. If transfer in an electronic medium is not feasible, prior to transfer, with NARA concurrence, records will be converted to paper or to microform. Destroy NRC copy 18 years after transferring records to NARA.</p>	<p data-bbox="798 436 1192 989"><u>Permanent.</u> Cut off electronic files at close of fiscal year. Convert image files to paper, microform, magnetic tape, 3480 class tape cartridge, or any other medium and format that meets NARA regulations found in Subchapter B of 36 CFR Chapter XII and transfer to NARA 2 years after cutoff. Prior to transfer, NARA and NRC will determine the medium and format in which records will be transferred. Destroy NRC copy 18 years after transferring record to NARA.</p>	TBD
e.	<p data-bbox="327 1032 730 1449">ADAMS document profiles and ADAMS document packages created for the management, search, and retrieval of the PDF files and TIFF files, and ADAMS data related to digital signatures, and data that evidence final NRC management and staff concurrences in documents that are linked to and considered part of the official records.</p>	<p data-bbox="798 1032 1184 1351"><u>Permanent.</u> Cut off electronic files with related PDF files and TIFF files. Transfer to NARA according to regulations found in 36 CFR § 1228.188 when the PDF files and TIFF files are transferred. Destroy NRC copy 18 years after transferring record to NARA.</p>	TBD

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PROGRAMMATIC RECORDS

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ADAMS RECORDS SCHEDULES
OFFICE OF INVESTIGATIONS

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1.	<p><u>General Program Correspondence Files (Subject Files)</u></p> <p>Letters, memoranda, messages, studies, reports, forms, and other data documenting and/or implementing plans, policies, procedures, accomplishments, opinions, and decisions pertaining to Office of Investigations (OI) program and staff activities.</p> <p>a. <u>Program Correspondence Files at the Office Director Level.</u></p> <p>Files that document policy-making decisions or significant OI program management functions that are signed by or addressed to the OI Director. Excluded is program correspondence that documents routine transactions for which the record content is summarized or duplicated in higher level documents. (See item c. below.)</p>		
	(1) Paper records created before 01/01/2000.	<u>Permanent.</u> Cut off at close of fiscal year. Hold 2 years and retire to the Washington National Record Center through OCIO. OCIO will transfer to NARA when 20 years old.	NC1-431-81-5 Item 1.2.15.a (NUREG-0910 NRCS 1-2.2.a)
	(2) Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Destroy paper documents 2 months after creation of ADAMS electronic record.	TBD

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA- APPROVED <u>CITATION</u>
(3)	Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and ASCII files that remain with staff members and OCIO processing staff after creation of the ADAMS records. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating.	TBD
(4)	ADAMS PDF and TIFF files.	<u>Permanent.</u> Cut off electronic files at close of fiscal year. Convert image files to paper, microform, magnetic tape, 3480 class tape cartridge, or any other medium and format that meets NARA regulations found in Subchapter B of 36 CFR Chapter XII and transfer to NARA 2 years after cutoff. Prior to transfer, NARA and NRC will determine the medium and format in which the records will be transferred. Destroy NRC copy 18 years after transferring record to NARA.	TBD
(5)	ADAMS document profiles and ADAMS document packages created for the management, search, and retrieval of the PDF files and TIFF files, and ADAMS data related to digital signatures, and data that	<u>Permanent.</u> Cut off electronic files with related PDF files and TIFF files. Transfer to NARA according to regulations found in 36 CFR § 1228.188 when the PDF files and TIFF files are transferred. Destroy NRC copy 18 years after transferring	TBD

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA-APPROVED CITATION
	evidence final NRC management and staff concurrences in documents that are linked to and considered part of the official records.	record to NARA.	
b.	<u>Program Correspondence Files Created or Received Below the Office Director Level.</u>		
	Files that document policy making decisions, significant or OI program management functions and program operations. They are signed by or addressed to OI management and staff below the OI Director level. Excluded is program correspondence that documents routine transactions for which the record content is summarized or duplicated in higher level documents. (See item c. below.)		
(1)	Paper records created before 01/01/2000.	Cut off at close of fiscal year. Hold 2 years and retire to the Washington National Record Center through OCIO. Destroy 10 years after cutoff.	NC1-431-81-5 Item 1.2.15.b (NUREG-0910 NRCS 1-2.2.b)
(2)	Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Destroy paper documents 2 months after creation of ADAMS electronic record.	TBD
(3)	Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and ASCII files that remain with	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating.	TBD

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA- APPROVED <u>CITATION</u>
	staff members and OCIO processing staff after creation of the ADAMS records. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.		
	(4) ADAMS PDF files and their linked native application source files; ADAMS TIFF files and their linked ASCII files; ADAMS document profiles and document packages; and ADAMS digital signature and concurrence data.	Cut off electronic files at close of fiscal year. Destroy 10 years after cutoff.	TBD
c. <u>Routine Program Correspondence Files Created or Received 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 a. or b. above.		
(1) Paper records created before 01/01/2000.		Destroy when 2 years old, or sooner if purpose has been served.	NC1-431-81-5 Item 1.2.15.c (NUREG-0910 NRCS 1-2.2.c)

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA- APPROVED <u>CITATION</u>
	(2) Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Destroy paper documents 2 months after creation of ADAMS electronic record.	TBD
	(3) Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and ASCII files that remain with staff members and OCIO processing staff after creation of the ADAMS records. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating.	TBD
	(4) ADAMS PDF files and their linked native application source files; ADAMS TIFF files and their linked ASCII files; ADAMS document profiles and document packages; and ADAMS digital signature and concurrence data.	Cut off electronic files at close of fiscal year. Destroy 2 years after cutoff.	TBD

2. Investigation Case Files

Official case files documenting investigations of licensees, applicants, contractors, or vendors and any wrongdoing by individuals other than NRC employees and NRC contractors. Files include statements, interviews, support information relating to the investiga-

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA-APPROVED CITATION</u>
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tion, interim reports and the reports of investigation. The official record of this series is maintained both in ADAMS and in paper form to ensure availability of evidence and exhibits for adjudication purposes. Paper files contain evidence files and chain of custody records that are not placed in ADAMS. Records are created in the regional field offices and transferred to headquarters for final processing.

a. Official case files created by field investigators and maintained at regional field offices that are selected by NRC because they meet one or more of the following criteria:

- Received wide attention from the news media;
- Was of significant interest to Congress, the White House, or NRC Commissioners;
- Was involved in extensive litigation;
- Was involved in a major policy discussion and/or change in the Office of Investigations or in the Nuclear Regulatory Commission as a whole; and
- Prompted significant changes in designs or procedures by or relating to the nuclear industry.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA-APPROVED CITATION</u>
(1)	Paper records created before 01/01/2000 and those created after that date. Note that OI headquarters will discontinue creating paper records that duplicate records placed in ADAMS by OI regional office investigators and rely on ADAMS for access.	<u>Permanent.</u> Cut off files when case is closed. Hold in field office for 6 months then forward to headquarters for processing. Headquarters will combine with its files, hold for 2 years, then retire to Washington National Record Center (WNRC). NRC will select cases for archival retention before retiring records to WNRC, using criteria listed above. The cases selected between 1984 and 1992 will be offered to NARA in 2012 and subsequent 10 year blocks will be offered at 10 year intervals thereafter.	Supersedes NC1-431-83-6 Item 2.a. to clarify headquarters and field guidance. Also changes initial transfer date from year 2002 to year 2012. (NUREG-0910 NRCS 2-17.2.a)
(2)	Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Return to Official File Station for maintenance and disposition in accordance with item a., above, after ADAMS processing.	TBD
(3)	Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and ASCII files, and to create paper records for hard copy maintenance, that remain with staff members and ADAMS intake and capture processing staff after creation of the ADAMS and paper records. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus,	Destroy after creating ADAMS electronic record and creating paper record for filing at Official File Station, or when no longer needed for reference or updating.	TBD

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA-APPROVED CITATION</u>
	InForms, e-mail, etc.) and electronic records received from outside the agency.		
(4)	ADAMS PDF and TIFF files.	<u>Permanent.</u> Cut off electronic files at close of fiscal year. Convert image files to paper, microform, magnetic tape, 3480 class tape cartridge, or any other medium and format that meets NARA regulations found in Subchapter B of 36 CFR Chapter XII and transfer to NARA 2 years after cutoff. Prior to transfer, NARA and NRC will determine the medium and format in which the records will be transferred. Destroy NRC copy upon NARA verifying receipt of transferred records.	TBD
(5)	ADAMS document profiles and ADAMS document packages created for the management, search, and retrieval of the PDF files and TIFF files, and ADAMS data related to digital signatures, and data that evidence final NRC management and staff concurrences in documents that are linked to and considered part of the official records.	<u>Permanent.</u> Cut off electronic files with related PDF files and TIFF files. Transfer to NARA according to regulations found in 36 CFR § 1228.188 when the PDF files and TIFF files are transferred. Destroy NRC copy upon NARA verifying receipt of transferred records.	TBD
b.	Other official case files created by field investigators and maintained at regional field offices that do not meet the criteria for permanent retention.		

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA-APPROVED CITATION</u>
(1)	Paper records created before 01/01/2000 and those created after that date. Note that OI headquarters will discontinue creating paper records that duplicate records placed in ADAMS by OI regional office investigators and rely on ADAMS for access.	Cut off files when case is closed. Hold in field office for 6 months then forward to headquarters for processing. Headquarters will combine with its files, hold for 2 years, then retire to Washington National Record Center (WNRC) through OCIO. Destroy 20 years after cases are closed.	Supersedes NC1-431-83-6 Item 2.b to clarify headquarters and field guidance. Also to increase retention from 10 years to 20 years. (NUREG-0910 NRCS 2-17.2.b)
(2)	Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Return to Official File Station for maintenance and disposition in accordance with item a., above, after ADAMS processing.	TBD
(3)	Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and to create paper records for hard copy maintenance, that remain with staff members and ADAMS intake and capture processing staff after creation of the ADAMS and paper records. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.	Destroy after creating ADAMS electronic record and creating paper record for filing at Official File Station, or when no longer needed for reference or updating.	TBD
(4)	ADAMS PDF files and their linked native application source files; ADAMS TIFF	Cut off electronic files when case is closed. Destroy 20 years after cutoff.	TBD

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA-APPROVED CITATION
	files and their linked ASCII files; ADAMS document profiles and document packages; and ADAMS digital signature and concurrence data.		
	c. Headquarter's copy.		
	(1) Paper records created before 01/01/2000. Note that OI headquarters will discontinue creating paper records that duplicate records placed in ADAMS by OI regional office investigators and rely on ADAMS for access.	Cut off files when case is closed. Combine with the field office files and process in accordance with items a. and b. above.	Supersedes NC1-431-83-6 Item 2.c to transfer files to headquarters for processing. (NUREG-0910 NRCS 2-17.2.c)
3.	<u>Investigation Procedures Manual and Investigative Guidance</u>		
	OI official record set of formal issuances maintained at NRC Headquarters.		
	a. Paper records created before 01/01/2000.	<u>Permanent.</u> Transfer a complete set to NARA in 2002 and at 10 year intervals thereafter.	Supersedes NC1-431-83-6 Item 3 to revise series title. (NUREG-0910 NRCS 2-17.3)
	b. Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Destroy paper documents 2 months after creation of ADAMS electronic record.	TBD
	c. Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files,	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating.	TBD

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA- APPROVED <u>CITATION</u>
	TIFF files, and ASCII files that remain with staff members and OCIO processing staff after creation of the ADAMS records. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.		
d.	ADAMS PDF and TIFF files.	<u>Permanent.</u> Cut off electronic files at close of fiscal year. Convert image files to paper, microform, magnetic tape, 3480 class tape cartridge, or any other medium and format that meets NARA regulations found in Subchapter B of 36 CFR Chapter XII and transfer to NARA 2 years after cutoff. Prior to transfer, NARA and NRC will determine the medium and format in which the records will be transferred. Destroy NRC copy 8 years after transferring record to NARA.	TBD
e.	ADAMS document profiles and ADAMS document packages created for the management, search, and retrieval of the PDF files and TIFF files, and ADAMS data related to digital signatures, and data that evidence final NRC management and staff concurrences in documents that are linked to and considered part of the official records.	<u>Permanent.</u> Cut off electronic files with related PDF files and TIFF files. Transfer to NARA according to regulations found in 36 CFR § 1228.188 when the PDF files and TIFF files are transferred. Destroy NRC copy 8 years after transferring record to NARA.	TBD

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA-APPROVED CITATION
4.	<u>Legal Interpretations</u>		
	Legal interpretations provided by the Office of General Counsel, Regional Counsels, Department of Labor, and other sources providing guidance or establishing precedents for investigations, and other legal matters pertinent to OI functions.		
	a. Paper records created before 01/01/2000.	<u>Permanent.</u> Cut off at files on 12/31/99. Retire to Washington National Records Center thorough OCIO 10 years after cutoff. Transfer to NARA 20 years after cutoff.	TBD
	b. Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Destroy paper documents 2 months after creation of ADAMS electronic record.	TBD
	c. Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and ASCII files that remain with staff members and OCIO processing staff after creation of the ADAMS records. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating.	TBD
	d. ADAMS PDF and TIFF files.	<u>Permanent.</u> Cut off electronic files at close of fiscal year. Convert image files to paper, microform, magnetic tape, 3480 class tape cartridge, or any other	TBD

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA- APPROVED CITATION</u>
		medium and format that meets NARA regulations found in Subchapter B of 36 CFR Chapter XII and transfer to NARA 2 years after cutoff. Prior to transfer, NARA and NRC will determine the medium and format in which records will be transferred. Destroy NRC copy 18 years after transferring record to NARA.	
	e. ADAMS document profiles and ADAMS document packages created for the management, search, and retrieval of the PDF files and TIFF files, and ADAMS data related to digital signatures, and data that evidence final NRC management and staff concurrences in documents that are linked to and considered part of the official records.	<u>Permanent.</u> Cut off electronic files with related PDF files and TIFF files. Transfer to NARA according to regulations found in 36 CFR § 1228.188 when the PDF files and TIFF files are transferred. Destroy NRC copy 18 years after transferring record to NARA.	TBD