

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		<b>LEAVE BLANK (NARA use only)</b>	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-431-00-18	
1. FROM (Agency or establishment) <b>U.S. Nuclear Regulatory Commission</b>		DATE RECEIVED	
2. MAJOR SUBDIVISION <b>Office of the General Counsel</b>		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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  <b>Jeff Bartlett</b>	5. TELEPHONE  <b>301-415-6466</b>		
		DATE	ARCHIVIST OF THE UNITED STATES

<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 <b>34</b> 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 <b>12/09/99</b>	SIGNATURE OF AGENCY REPRESENTATIVE <b>Brenda Jo. Shelton /S/; Revised 03/24/00</b>	TITLE <b>NRC Records Officer</b>

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 the General Counsel.</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> <p>1) Programmatic records created or received by each individual NRC office</p> <p>2) Administrative records created or received by any NRC offices</p>		

## REQUEST FOR RECORDS DISPOSITION AUTHORITY -- CONTINUATION

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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>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 the General Counsel.</p>		

**RECORDS OF THE OFFICE OF THE GENERAL COUNSEL  
PROGRAMMATIC RECORDS**

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ADAMS RECORDS SCHEDULES  
OFFICE OF THE GENERAL COUNSEL

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1.	<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.		
	<del>(1) Paper records created before 04/01/2000.</del>	<del>Permanent. Retire to Washington National Records Center when 10 years old. Transfer to NARA when 20 years old.</del>	<del>NCI-431-81-5 Item 2.4.12.a (NUREG-0910 NRCS 2-13.1.a)</del>
	(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

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- (4) ADAMS PDF files and  
TIFF files.

PERMANENT. 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 1228.27c 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.

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.

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.

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 PDF files and TIFF files are transferred. Destroy NRC copy 18 years after transferring record to NARA.

TBD

2. Committee and Conference  
Records

- a. Records relating to establishment, organization, membership and policy of interagency, intra-agency and international committees and conferences, and agenda, minutes, final reports, and related records documenting

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	<p>accomplishments created by committees and conferences when NRC is the sponsoring agency. <i>Excluding routine internal committee and conference records covered by GRS 16.6.</i></p> <p>(1) Paper records created before 04/01/2000.</p>	<p><u>Permanent</u>. Cut off when NRC involvement terminates. OCIO will transfer to NARA 10 years after cutoff.</p>	<p>NC1-431-81-5 Item 1.5.30.a.1</p> <p>(NUREG-0910 NRCS 1-2.1.a.1).</p> <p>Supersedes: NC1-431-81-5 Item 1.5.30.a.2</p> <p>(NUREG-0910 NRCS 1-2.1.a.2)</p> <p>and NC1-431-81-5 Item 1.5.30.b.1.a</p> <p>(NUREG-0910 NRCS 1-2.1.b.1.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>
	<p>(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,</p>	<p>Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.</p>	<p>TBD</p>

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA-APPROVED CITATION</u>
<del>(1)</del>	<del>Paper records created before 04/01/2000.</del>	<del>Destroy when 3 years old or earlier if no longer needed for reference.</del>	<del>NC1-431-81-5 Item 1.5.30.b.1.b (NUREG-0910 NRCS 1-2.1.b.1.b)</del>
(2)	Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) 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 upon termination of committee. Destroy 3 years after cutoff.	TBD

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA- APPROVED CITATION</u>
c.	All other records created by committees regardless of whether NRC is the sponsor agency, excluding the agenda, minutes, final reports and related records described in Item a, above.		
<del>(1)</del>	<del>Paper records created before 10/01/2000.</del>	<del>Destroy when 3 years old or earlier if no longer needed for reference.</del>	<del>NC1-431-81-5 Item 1.5.30.b.2 (NUREG-0910 NRCS 1-2.1.b.2)</del>
(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	Cut off electronic files upon termination of committee. Destroy 3 years after cutoff.	TBD



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	packages; and ADAMS digital signature and concurrence data.		
3.	<u>Conflict of Interest (Ethics Official) Files</u>		
	a. Paper records consisting of Policy and Precedent Files maintained in subject order that consist of letters, messages, memoranda, studies, reports, forms, and other data interpreting or applying requirements or policies. These documents establish policies or precedents needed to provide ethics advice.	Cut off at close of fiscal year. Destroy 25 years after cutoff.	TBD
4.	<u>General Program Correspondence Files (Subject Files)</u>		
	Letters, memoranda, messages, studies, reports, forms, and other data documenting and/or implementing plans, policies, procedures, accomplishments, opinions, and decisions pertaining to Office of the General Counsel (OGC) program and staff activities.		
	a. <u>Program Correspondence Files at the Office Director Level.</u>		
	Files that document policy-making decisions or significant OGC program management functions that are signed by or addressed to the OGC Director or Deputy Director. Excluded is program correspondence that documents routine transactions for which the record content is		

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	summarized or duplicated in higher level documents. (See item c. below.)		
(1)	Paper records created before 04/01/2000.	<del>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.</del>	<del>NC1-431-81-5 Item 1.2.15.a (NUREG-0910 NRCS 1-2.2.a)</del>
(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 TIFF files. 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.	<del>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.</del>	<del>TBD</del>

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~~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.

- (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.

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 PDF files and TIFF files are transferred. Destroy NRC copy 8 years after transferring record to NARA.

TBD

b. Program Correspondence Files  
Created or Received Below the  
Office Director Level.

Files that document policy making decisions, significant OGC program management functions and program operations. They are signed by or addressed to OGC management and staff below the Office 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.)

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(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 <del>NRCS 1-2.2.b</del> )
(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 10 years after cutoff.	TBD

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c.	<u>Routine Program</u> <u>Correspondence Files Created</u> <u>or Received at All</u> <u>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.		
<del>(1)</del>	<del>Paper records created before 04/01/2000.</del>	<del>Destroy when 2 years old, or sooner if purpose has been served.</del>	<del>NC1-431-81-5 Item 1.2.15.c  (NUREG-0910 NRCS 1-2.2.c)</del>
(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

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	(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
5.	<u>Legislative Files</u>		
	Case files of legislation proposed by NRC consisting of proposals, staff comments, internal memos, correspondence with the Office of Management and Budget (OMB), testimony, and draft bills. Arranged numerically by bill number or by subject if more than one bill is involved.		
	a. <del>Paper records created prior to 04/01/2000.</del>	<del>Permanent. Retire to Washington National Records Center when 10 years old. Transfer to NARA when 20 years old.</del>	<del>NC1-431-81-5 Item 2.4.13 (NUREG-0910 NRCS-2-13.2)</del>
	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	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	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD

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	automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.		
d.	ADAMS PDF files and TIFF files.  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.	<u>Permanent.</u> Cut off electronic files biannually at close of each Congress. <del>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.</del> Destroy NRC copy 18 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 18 years after transferring record to NARA.	TBD
6.	<u>Licensing Docket Formal Hearing Files</u>  Case files maintained by the Office of the General Counsel on hearings before the Commission, Boards, Presiding Officers, and Panels		

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relating to antitrust actions, and applications for construction permits and operating licenses for individual nuclear facilities, as well as for combined licenses, renewed licenses, reactor and senior reactor operator licenses, materials and facilities licenses, waste storage and disposal licenses, and enforcement actions. Files consist of correspondence, briefs, pleadings, hearing transcripts, and related records on cases and are used by OGC staff in arguing cases.

~~a. Paper records created before 04/01/2000.~~

~~Destroy after verification that microfiche copies are adequate substitutes for original records.~~

~~NC1-431-81-5  
Item 1.3.19.a~~

~~(NUREG-0910  
NRCS 2-13.3.a)~~

~~b. Silver master and one diazo copy of microfiche.~~

~~Offer to NARA. If not accepted by the National Archives, maintain until no longer needed by agency.~~

~~NC1-431-81-5  
Item 1.3.19.b~~

~~(NUREG-0910  
NRCS 2-13.3.b)~~

NOTE: The creation of a microfiche copy of OGC's Licensing Docket Formal Hearing Files will be discontinued when ADAMS is implemented and verified to be operating correctly. Documents can be obtained from the Electronic Hearing Docket maintained in ADAMS and output to a variety of media and formats. Accordingly, this series will be discontinued on 04/01/2000 with the implementation of ADAMS and this disposition applied only to the files up to that date.



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7.	<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.		
	a. <del>Paper records created before 04/01/2000.</del>	<del>Permanent. Retire closed files to Washington National Records Center 7 years after cases are closed. Transfer to NARA 20 years after cases are closed.</del>	<del>NC1-431-81-5 Item 2.4.11 (NUREG-0910 NRCS 2-13.4)</del>
	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	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 files and TIFF files. 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.	<u>Permanent.</u> Cut off electronic files when case closed. <del>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</del>	TBD

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		<del>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.</del>	
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
8.	<u>Patent and Technical Data Files</u>		
a.	Invention dockets containing copy of invention disclosure and pertinent correspondence.		
	<del>(1) Paper records created before 04/01/2000.</del>	<del>Destroy 10 years after file is closed.</del>	<del>NC1-431-81-5 Item 4.2.3.a (NUREG-0910 NRCS 2-13.5.a)</del>
	(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	TBD

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	(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 when file is closed. Destroy 10 years after cut off.	TBD
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.		

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(1)	Abandoned patent applications.		
<del>(a)</del>	<del>Paper records created before 04/01/2000</del>	<del>Destroy 10 years after application is abandoned.</del>	<del>NC1-431-81-5 Item 4.2.3.b.1  (NUREG-0910 NRCS 2-13.5.b.1)</del>
(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	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 files and their linked native application source files; ADAMS TIFF files and their linked ASCII files; ADAMS document profiles and document	Cut off electronic files when application is abandoned. Destroy 10 years after cut off.	TBD

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	packages; and ADAMS digital signature and concurrence data.		
(2)	Issued patents.		
<del>(a)</del>	<del>Paper records created before 04/01/2000.</del>	<del>Destroy 25 years after patent is issued.</del>	<del>NC1-431-81-5 Item 4.2.3.b.2  (NUREG-0910 NRCS 2-13.5.b.2)</del>
(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.	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 files and their linked native application source files; ADAMS TIFF files and	Cut off electronic files after patent is issued. Destroy 25 years after cutoff.	TBD

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	their linked ASCII files; ADAMS document profiles and document packages; and ADAMS digital signature and concurrence data.		
c. Files on contracts, subcontracts, and purchase orders containing miscellaneous correspondence and related papers 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.			
(1) Paper records created before 04/01/2000.		Destroy 10 years after patent clearance.	NC1-431-81-5 Item 4.2.3.c  (NUREG-0910 NRCS 2-13.5.e)
(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.	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.,		Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD

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	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 after patent clearance. Destroy 10 years after cut off.	TBD
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.		
<del>(1)</del>	<del>Paper records created before 04/01/2000.</del>	<del>Destroy 25 years after issuance of patent.</del>	<del>NC1-431-81-5 Item 4.2.3.d  (NUREG-0910 NRCS 2-13.5.d)</del>
(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.	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	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD

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	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 after issuance of patent. Destroy 25 years after cut off .	TBD
e.	Patent Agreement Forms, "Agreement Covering Discoveries, Inventions, and Improvements," signed by all employees at time of employment.		
<del>(1)</del>	<del>Paper records created before 04/01/2000.</del>	<del>Destroy when 56 years old.</del>	<del>NC1-431-81-5 Item 4.2.3.e  (NUREG-0910 NRCS 2-13.5.e)</del>
(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.	TBD
(3)	Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD



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	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.		
(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 56 years after cut off.	TBD
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.		
<del>(1)</del>	<del>Paper records created before 04/01/2000.</del>	<del>Destroy when 25 years old.</del>	<del>NC1-431-81-5 Item 4.2.3.f  (NUREG-0910 NRCS 2-13.5.f)</del>
(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	TBD

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	(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 25 years after cut off.	TBD
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; and Court of Claims petitions and actions.		

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<del>(1)</del>	<del>Paper records created before 04/01/2000.</del>	<del>Destroy when 30 years old.</del>	<del>NC1-431-81-5 Item 4.2.3.g  (NUREG-0910 NRCS 2-13.5.g)</del>
(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	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 30 years after cut off.	TBD

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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.		
(1)	"C" Reports and Applications.		
(a)	Paper records created before 04/01/2000.	Destroy 25 years after date of last action.	NC1-431-81-5 Item 4.2.3.h.1  (NUREG-0910 <del>NRCS 2-13.5.h.1</del> )
(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	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

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	(d) ADAMS PDF files and their linked native application source files; ADAMS TIFF files and their linked ASCII files; ADAMS document profiles and document packages; and ADAMS digital signature and concurrence data.	Cut off electronic files after last action. Destroy 25 years after cut off.	TBD
(2) 152 Applications.			
	(a) Paper records created before 04/01/2000.	Destroy 10 years after patent expires.	NC1-431-81-5 Item 4.2.3.h.2  (NUREG-0910 NRCS 2-13.5.h.2)
	(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	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,	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD

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	Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.		
	(d) ADAMS PDF files, files in their native applications, TIFF files, ASCII files, and document profiles.	Cut off electronic files when patent expires. Destroy 10 years after cut off.	TBD
i.	Ledgers and log record showing invention disclosures reported date, disposition, and U.S. office actions.		
	<del>(1) Paper records created before 04/01/2000.</del>	<del>Destroy 10 years after last entry.</del>	<del>NC1-431-81-5 Item 4.2.3.i (NUREG-0910 NRCS 2-13.5.i)</del>
	(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	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.,	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD

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	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 at end of fiscal year. Destroy 10 years after cut off.	TBD
9.	<u>Personal Opinion Files</u>  Paper records consisting of personal opinions of the General Council related to sensitive personnel matters.	Cut off at close of fiscal year. Destroy when <del>1</del> year old or when reference value has been exhausted, whichever is sooner.	TBD  3 <sup>rd</sup> per e-mail 3/30/2000
10.	<u>Regulatory History Files for Proposed and Final Rulemaking</u>  Case files documenting proposed and final rulemakings. Contents include interoffice correspondence, all source documents relied upon to prepare proposed and final rules, public comments, Committee to Review Generic Requirements (CRGR) minutes and recommendations, Advisory Committee on Reactor Safeguards comments, Commission papers, transcripts, indexes, and <i>Federal Register</i> Notices.		

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a.	Official case files created by the OGC.		
(1)	Paper records created before 04/01/2000.	<u>Permanent</u> . Cut off when regulation is issued through notice in the <i>Federal Register</i> . OCIO will transfer to NARA in 5-year blocks when the earliest closed case file is 25 years old and the most recent case file is 20 years old.	NC1-431-85-1 Item 1.a (NUREG-0910 NRCS 1-2.3.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
(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 TIFF files.	<u>Permanent</u> . Cut off electronic files when regulation is issued through notice in the <i>Federal Register</i> . Convert image files to paper, microform, magnetic tape, 3480 class tape cartridge, or any other medium and format that meets NARA regulations found	TBD
	<u>PERMANENT</u> . Cut-off electronic files when final regulation is issued through notice in the <i>Federal Register</i> . 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.		



## ITEM

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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.

~~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.~~

- (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.

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 PDF files and TIFF files are transferred. Destroy NRC copy 8 years after transferring record to NARA.

TBD