

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO. NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER 11-431-00-20	
1. FROM (Agency or establishment) U.S. Nuclear Regulatory Commission		DATE RECEIVED 3/31/00	
2. MAJOR SUBDIVISION Regional Offices		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER John Harris	5. TELEPHONE 301-415-5885	DATE 7-18-02	ARCHIVIST OF THE UNITED STATES <i>[Signature]</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 <u>66</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. </div>		
DATE 3/24/2000	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i> Brenda Jo. Shelton	TITLE NRC Records Officer

7 ITEM NO.	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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 Regional Offices.</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 		

cc Agency, NR, NRCMW, NRCMD, NRCME

REQUEST FOR RECORDS DISPOSITION AUTHORITY -- CONTINUATION

JOB NUMBER

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7. ITEM NO.	8. DESCRIPTION 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 Regional Offices.</p>		

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TO. NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-431-00-20	
1. FROM (Agency or establishment) U.S. Nuclear Regulatory Commission		DATE RECEIVED	
2. MAJOR SUBDIVISION Regional Offices		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 67 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 03/24/00	SIGNATURE OF AGENCY REPRESENTATIVE Brenda Jo. Shelton /S/, Revised 6/15/00	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 Regional Offices</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> <ul 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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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 Regional Offices</p>		

RECORDS OF THE REGIONAL OFFICES
PROGRAMMATIC RECORDS

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Note: Health Records Files, NRC Schedule 2-24.5, is superseded by General Records Schedules (GRS) 1-19, "Individual Non-Occupational Health Record Files," and GRS 1-21, "Employee Medical Folder," and is being removed from the NRC schedules.

ADAMS RECORDS SCHEDULES
RECORDS OF THE REGIONAL OFFICES

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~~1. Allegation Case Files~~

Official case files located in Regional offices documenting the receipt, evaluation, and resolution of allegations that pertain to issues associated with NRC licensees and nuclear industry vendors. Case files include, for example, the original incoming document, minutes and summaries of allegation review panel meeting, correspondence with allegers and licensees, memos to and from OI, inspection reports, staff safety evaluations, Allegation Management System printouts, documents showing staff resolution, and closure documents to the allexer.

*NARA approval
not needed*

a. ~~Paper records for allegations received before 04/01/2000.~~

*modified by agency
4/6/00 tes*

Cut off files upon final resolution of allegation. Retain in office for two years or until no longer needed for current activities, then retire to the NRC Archival Facility. Destroy 10 years after cut off.

Supersedes: NI-431-96-2 Item 1 (Approved 5/7/99) to revise wording of description and disposition.

~~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~~

*Withdrawn by
agency 4/6/00
tes*

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

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.

*Withdrawn by
agency 4/6/00
tes*

- 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 upon final resolution of allegation. Destroy 10 years after cutoff.

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 accomplishments created by committees and conferences when NRC is the sponsoring agency.

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

Permanent. Cut off when NRC involvement terminates. OCIO will transfer to NARA 10 years after cutoff.

Supersedes:
NC1-431-81-5
Item 1.5.30.a.1

(NUREG-0910
NRCS 1-2.1.a.1),

NC1-431-81-5
Item 1.5.30.a.2

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			(NUREG-0910 NRCS 1-2.1.a.2), and NC1-431-81-5 Item 1.5.30.b.1.a (NUREG-0910 NRCS 1-2.1.b.1.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.	Permanent. Cut off electronic files when NRC involvement terminates. 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	TBD
	<u>PERMANENT.</u> Cut-off electronic files when NRC involvement terminates. Transfer to the National Archives 2 years after cutoff. 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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		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.	<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
	b. Agenda, minutes, final reports, and related records documenting accomplishments created by committees and for conferences when NRC is not the sponsoring agency.		
	(1) Paper records created before 04/01/2000.	Destroy when 3 years old or earlier if no longer needed for reference.	Supersedes: NC1-431-81-5 Item 1.5.30.b.1.b (NUREG-0910 NRCS 1-2.1.b.1.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

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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 upon termination of committee. Destroy 3 years after cutoff.	TBD
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.		
	(1) Paper records created before 04/01/2000.	Destroy when 3 years old or earlier no longer needed for reference.	Supersedes: NC1-431-81-5 Item 1.5.30.b.2 (NUREG-0910 NRCS 1-2.1.b.2)

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA-APPROVED 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, 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

~~3. Department of Labor (DOL)
Discrimination Case Files~~

~~Case Files located in the Office of Enforcement and in the Regions documenting NRC assessments, findings, and resolutions of complaints filed with DOL concerning alleged acts of discrimination in violation of section~~

*Withdrawn by
agency 1/17/02*

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210(a) of the Energy Reorganization Act (ERA). Case files include copies of complaints, correspondence between the parties, decisions by DOL Area Directors, Administrative Law Judges, and the Secretary of Labor, and related documents. Case files are arranged numerically by ERA numbers.

*Withdrawn by
agency 1/17/02*

- | | | | |
|----|---|---|-----|
| a. | Paper records created before 04/01/2000. | Cut off files upon case completion. Hold 2 years and retire to the Washington National Record Center through OCIO. Destroy 10 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, 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 | Cut off electronic files upon case completion. Destroy 10 years after cutoff. | TBD |

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document packages; and
ADAMS digital signature and
concurrence data.

Withdrawn by
agency 1/17/02

4. Emergency Planning Files

- a. Case files accumulated in the Regional Offices, consisting of a record copy of each plan or directive issued, and related background papers.

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

Permanent. Transfer to NARA when 20 years old.

NC1-431-81-1
Item 3.a

(NUREG-0910
NRCS 2-24.3.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.

Permanent. Cut off electronic files at close of fiscal year.

TBD

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<u>PERMANENT.</u>	Cut-off electronic files at close of fiscal year. Transfer to the National Archives 2 years after cutoff. 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.	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
(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 8 years after transferring record to NARA.	TBD
b.	Record set of NRC reports of operation tests accumulated in the Regional Offices consisting of consolidated or comprehensive reports reflecting results of tests conducted under emergency plans.		
(1)	Paper records created before 04/01/2000.	<u>Permanent.</u> Transfer to NARA when 20 years old.	NC1-431-81-1 Item 3.b (NUREG-0910 NRCS 2-24.3.b)

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	(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.	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
	PERMANENT. Cut-off electronic files at close of fiscal year. Transfer to the National Archives 2 years after cutoff. 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.		
	(5) ADAMS document profiles and ADAMS document packages created for the	Permanent. Cut off electronic files with related PDF files and TIFF files. Transfer to NARA	TBD

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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.

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.

5. Enforcement Action Case Files

Case files located in the Office of Enforcement and in the Regions documenting enforcement actions and violations in all activity areas at all severity levels. Case files include Orders, Notices of Violations with and without Civil Penalties, Orders Imposing Civil Penalties, Letters of Reprimand, and Demands for Information; licensee responses to the actions; and other relevant documents pertinent to the action. Case files are arranged by Individual Action number as actions are issued.

a. Significant Enforcement Actions

Enforcement actions that have exceptional value because of the historical significance of their contents or their uniqueness. Included are files that:

- Result in significant judicial decisions or legislation that affect the functions and activities of NRC;

Revised by agency
on 1/17/02 - Replacement
pages 15-19 follow
2/27/02 tcs

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5. Enforcement Action Case Files

Case files located in the Office of Enforcement and in the Regions documenting enforcement actions and violations in all activity areas at all severity levels. Case files include Orders, Notices of Violations with and without Civil Penalties, Orders Imposing Civil Penalties, Letters of Reprimand, and Demands for Information; licensee responses to the actions; and other relevant documents pertinent to the action. Case files are arranged by Individual Action number as actions are issued.

Unclassified safeguards information will not be maintained in ADAMS, but will continue to be maintained in paper format. (See Items a.(1) and b.(1), below.)

a. Significant Enforcement Actions

Enforcement actions that have exceptional value because of the historical significance of their contents or their uniqueness. Included are files that:

- Result in significant judicial decisions or legislation that affect the functions and activities of NRC;
- Result in significant changes

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	<p>in regulatory activities and procedures;</p> <p>- Were the subject of congressional investigation or were of great public interest; or</p> <p>- Contributes substantive information supporting docket files identified for permanent retention.</p>		
(1)	Paper records created before 04/01/2000, and all paper unclassified safeguards information.	<u>Permanent.</u> Cut off files when case is closed. Hold 5 years and retire to the Washington National Record Center through OCIO. OCIO will transfer to NARA with related indexes when 20 years old.	TBD
(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,	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD

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	etc.) and electronic records received from outside the agency.		
(4)	ADAMS PDF files and TIFF files.	<p><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. Destroy NRC copy 18 years after transferring record 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	<p><u>Permanent.</u> Cut off electronic files with related PDF files and TIFF files. Transfer to NARA according to regulations found in 36 CFR § 1228.188 when the PDF files and TIFF files are transferred. Destroy NRC copy 18 years after transferring record to</p>	TBD

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	that evidence final NRC management and staff concurrences in documents that are linked to and considered part of the official records.	NARA.	
b.	<u>All Other Enforcement Actions and Violations</u>		
(1)	Paper records created before 04/01/2000, and all paper unclassified safeguards information.	Cut off files when case is closed. Hold 2 years and retire to the Washington National Record Center through OCIO. Destroy 10 years after cut-off <i>the enforcement actions are cut-off.</i>	TBD
(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

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA-APPROVED CITATION</u>
	<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, InForms, e-mail, etc.) and electronic records received from outside the agency.</p>	<p>Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.</p>	TBD
	<p>(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.</p>	<p>Cut off electronic files when case is closed. Destroy 10 years after cutoff.</p>	TBD

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	<p>digital signature and concurrence data.</p>		
6.	<p><u>Fuel Facilities, Transportation, Byproduct, Source, and Special Nuclear Material Docket Files</u></p> <p>Case files documenting the licensing or certifying of persons, institutions, facilities, or companies to use byproduct, source, and special nuclear material, and to transport nuclear material as defined in 10 CFR Parts 30, 40, 50, 70, 71, 73, 74, 75, and 76. Included are the application, license or certificate and amendments, and all related licensing or certifying documentation. This series also includes general licenses, NRC Form 241, issued to Agreement States licensees to conduct business outside of the Agreement State. Decommissioning records for these licenses or certificates are permanent and require maintenance as a subset of each case file as specified in SECY 90-316. Reference Item c. below for authorized disposition of decommissioning files.</p> <p>Excluded are case files (under 10 CFR Part 40) with license prefix of "SUA" which are covered by the High-Level, Low-Level, and Uranium Recovery Docket File schedule. Post 1983 Regional case files include the Inspection and Enforcement Case File documentation described in the Inspection and Enforcement Case File schedule and are retained as one</p>		

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	<p>case file under this schedule. For the purposes of applying the authorized disposition instructions, a withdrawn or denied license or certificate application is considered terminated on the date of withdrawal or denial.</p> <p>Also excluded are classified and safeguards information records that will not be maintained in ADAMS, but will be maintained in paper format. (See NRCS 2-24.4)</p> <p>a. Case Files covering licensee for which licensing or certifying jurisdiction is transferred to the State under agreement covering transfer of function.</p>		
	(1) Paper records created before 04/01/2000.	Transfer to Agreement States.	NC1-431-81-5 Item 1.3.22.b (NUREG-0910 NRCS 2-24.4.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 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.		
	(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 request for transfer. Convert to media acceptable to NRC and Agreement State (paper, electronic, microform). Transfer to Agreement States. Destroy NRC copy 3 years after cutoff.	TBD
	b. Official case files of NMSS and the Regional offices including the decommissioning segment, determined by the NRC to have exceptional value because of the historical significance of their contents or their uniqueness. Included are files that: <ul style="list-style-type: none"> - Result in judicial decisions or legislation that affect the functions and activities of NRC; - Result in significant changes in regulatory activities and procedures; or - Were the subject of Congressional investigation or were of great public interest. 		
	(1) Paper records created before 04/01/2000.	<u>Permanent.</u> Cut off upon license or certificate termination, following completion of decommissioning procedure. Retire to WNRC through OCIO at end of fiscal	Supersedes: N1-431-92-3 Item 1.b to revise description of records.

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		year. Transfer to NARA 20 years after termination of license or certificate.	(NUREG-0910 NRCS 2-24.4.d)
	(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.	Permanent. Cut off electronic files upon licence or certificate termination following completion of decommissioning procedure. 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	TBD
	<u>PERMANENT</u> Cut-off electronic files upon license or certificate termination following completion of decommissioning procedure. Transfer to the National Archives 2 years after cutoff. 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		

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		NRC copy 18 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.	<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
	c. Decommissioning records segment of disposable licensing or certifying case files located at the Regional offices consisting of the following types of documents: 1. All license or certificate applications, amendment requests, and renewal requests. 2. Complete license or certificate, including all amendments. 3. Termination amendment. 4. Licensee request for license or certificate termination and all supporting documentation including plans for completion of decommissioning. 5. Forms dealing with disposition of material		

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	(NRC/AEC Form 314, AEC Form HQ-277, and other forms) and/or letters from licensees dealing with disposition and status of material.		
	6. Reports of NRC closeout inspections.		
	7. Letter of certification from NRC official stating that license or certificate can be terminated.		
	8. Any closeout survey by NRC, the licensee, or a contractor working for either NRC or the licensee.		
	9. Any additional documents dealing with disposition of waste or other material or residual contamination on the site, including records of on-site burials.		
	10. All documents related to determining the appropriate amounts for decommissioning of facilities, including cost estimates, certifications of financial assurance for decommissioning or decommissioning funding plans. This item excludes documents related to funding methods, standby trust agreements, letters of credit, insurance policies, self-guarantee documents, or other monetary instruments that are maintained by NMSS or the Regions. (See Item 6.d)		

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
	11. Records of spills and other unusual occurrences involving the spread of contamination in and around the facility, equipment, or site.		
	12. As-built drawings and modifications of structures and equipment in restricted areas where radioactive materials were used or stored and locations of possible inaccessible contamination.		
	13. Any additional documents which refer to decommissioning, decontamination, or termination of the license or certificate, including interim or partial decommissioning or specific facilities at any time during the history of licensed operations.		
	14. Any enforcement documents related to decommissioning and decontamination activities.		
		<i>modified by agency email 2/7/02 tes</i> Supersedes: N1-431-92-3, Item 1.c to revise the description of 1.c.10	
(1)	Paper records created before 04/01/2000.	<u>Permanent.</u> Cut off upon license or certificate termination, following completion of decommissioning procedure. Retire to WNRC through OCIO at end of fiscal year. Transfer to NARA 20 years after termination of license or certificate.	N1-431-92-3 Item 1.c (NUREG-0910 NRCS 2-24.4.e)
(2)	Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Forward negotiable checks to the Materials Licensing Branch. Destroy other paper documents 2 months after creation of ADAMS electronic record.	TBD

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		Note that credit card payment authorization forms will not be copied into ADAMS, but provided directly to the Material licensing Branch.	
	(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.	Permanent. Cut off electronic files upon licence termination following completion of decommissioning procedure. 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
	<u>PERMANENT.</u> Cut-off electronic files upon license termination following completion of decommissioning procedure. 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.		

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	(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 18 years after transferring record to NARA.	TBD
d.	All documents related to funding methods for financial assurance for decommissioning, including standby trust agreements, letters of credit, surety bonds, statements of intent, certificates of deposit, government securities, external sinking funds, parent company or self guarantees, standby trust agreements, decommissioning cost estimates, financial tests, or other financial assurance instrument documentation.		<p><i>modified by agency email 2/7/02 tcs</i></p> <p>TBD; Based on a revision to the description of N1-431-92-3, Item 1.c.10</p> <p>(NUREG-0910 NRCS 2-24.4.e.10)</p>
(1)	Paper records created before 04/01/2000.	Cut off upon license or certificate termination following completion of decommissioning procedure. Return documents to licensee in accordance with Management Directive (MD) 8.12.	<p>TBD; Based on revision to N1-431-92-2 Item 1.a.10</p> <p>(NUREG-0910 NRCS 2-20.9.b.10)</p>
(2)	Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Forward paper documents to the Financial Assurance Instrument Custodian for storage in an approved container per MD	TBD

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		8.12. Upon termination of license or certificate or superseding of the document, return the superceded documents to the licensee.	
	(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 license or certificate termination following decommissioning procedure. Destroy 20 years after cutoff.	TBD
e.	Other case files, excluding the decommissioning segment, that do not meet the criteria for permanent retention.		
	(1) Paper records created before 04/01/2000.	Cut off upon license or certificate termination, following completion of decommissioning	N1-431-92-3 Item 1.d

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		procedure. Retire to WNRC through OCIO at the end of fiscal year. Destroy 20 years after termination of license or certificate.	(NUREG-0910 NRCS 2-24.4.f)
(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 upon license or certificate termination following completion of decommissioning procedure. Destroy 20 years after cutoff.	TBD

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7.	<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 the Regional Administrator program and staff activities. Excluded are classified and safeguards information records that will not be maintained in ADAMS, but will be maintained in paper format. (See NRCS 1-2.2)</p> <p>a. <u>Program Correspondence Files at the Regional Administrator Level.</u></p> <p>Files that document policy-making decisions or significant Regional program management functions that are signed by or addressed to the Regional Administrator (RA) or Deputy RA. 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><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.</p>	<p>NC1-431-81-5 Item 1.2.15.a (NUREG-0910 NRCS 1-2.2.a)</p>

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	(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.	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
	PERMANENT. Cut-off electronic files at close of fiscal year. Transfer to the National Archives 2 years after cutoff. 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.		
	(5) ADAMS document profiles and ADAMS document packages created for the	Permanent. Cut off electronic files with related PDF files and TIFF files. Transfer to NARA	TBD

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	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.	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.	
b.	<u>Program Correspondence Files Created or Received Below the Regional Administrator Level.</u>		
	Files that document policy making decisions, significant Regional program management functions and program operations. They are signed by or addressed to Regional management and staff below the Regional Administrator 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

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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 10 years after cutoff.	TBD
c.	<u>Routine Program</u> <u>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 04/01/2000.	Destroy when 2 years old, or earlier sooner if purpose has been served. <i>tex 3/1/02</i>	NC1-431-81-5 Item 1.2.15.c

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	(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
8.	<u>Headquarters and Regional Operator Licensing Files</u> The information pertaining to the licensing of operators at power and non-power reactors.		

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a. 10 CFR Part 55 Docket Files

*Withdrawn by
agency 11/2/01
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Case files containing information pertaining to 10 CFR Part 55 applicants for a license, licensed operators, and individuals who previously held licenses. Documentation includes applications for a license, licenses, denial letters and related licensing correspondence, correspondence pertaining to actions taken against a licensee, 10 CFR Part 50.74 notifications, certifications of medical examinations and related medical information, fitness for duty information, examination results, and other docket information.

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

Cut off files upon latest license expiration/termination/revocation, application denial or withdrawal, or issuance of denial letter. Retire to Washington National Records Center when 3 years old. Destroy when 10 years old.

Supersedes
N1-431-90-4
Item 1
(NUREG-0910
NRCS 2-24.13)

(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

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.

*Withdrawn by
agency 11/2/01 tes*

- (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 latest license expiration/termination/revocation, application denial or withdrawal, or issuance of denial letter. Destroy 10 years after cutoff.

TBD

b. Examination Packages

Files containing information pertaining to 10 CFR Part 55 Operators Licensing examinations at power and non-power reactors. Documentation includes corporate notification letter, examination assignment sheet, and related licensing correspondence as described in NUREG-1021, ES-501.

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

Cut off examination on file upon receipt of the facility's next exam. Destroy 4 years after cutoff.

TBD

- (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

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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 examination files upon receipt of the facility's next exam. Destroy 4 years after cutoff.

TBD

c. General Correspondence

~~Any internal memoranda, forms, notes, or correspondence between the NRC and the facility licensees that does not directly pertain to a 55 Docket File or Exam Package.~~

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

c. General Correspondence

Any internal memoranda, forms, notes, Power Plant Examination Results Summary Sheet (ES 501-2), Non-Power Plant Examination Results Summary Sheet (ES 501N-1) or correspondence between the NRC and the facility licensees that does not directly pertain to a 55 Docket File or Exam Package.

Cut off at close of fiscal year. Retire to the Washington National Record Center through OCIO when 3 years old. Destroy 10 years after cutoff.

TBD. Based on NC1-431-81-5 Item 1.2.15.b (NUREG-0910 NRCS 1-2.2.b)

*modified by
agency emails
dated 12/19/01
& 1/15/02 ter*

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	(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
9.	<u>High-Level, Low-Level, and Uranium Recovery Docket Files</u> Case files documenting the licensing of high-level, or low-level and uranium recovery operations including mills, solution mining, and heat leaching of ion exchange facilities in non-Agreement States as defined in 10 CFR 40 with license		

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	transfer prefix of "SUA. Includes applications, licenses and amendments, and other related material. The files are arranged by docket number.		
a. Paper records created before 04/01/2000.		<u>Permanent.</u> Transfer to NARA when 10 years old.	NC1-431-81-5 Item 1.3.23 (NUREG-0910 NRCS 2-19.18)
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 files and TIFF files.		<u>Permanent.</u> Cut off electronic files upon licence termination following completion of decommissioning procedure. 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	TBD
<u>PERMANENT.</u> Cut-off electronic files upon license termination following completion of decommissioning procedure. 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.		40	

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		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.	
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
10.	<u>Information Files</u> Complete set of formal informational releases and publications, press conference transcripts, official speeches, and indexes thereto maintained by the Regional offices.		
a.	Paper records created before 04/01/2000.	<u>Permanent</u> . Transfer to NARA when 10 years old.	NC1-431-81-5 Item 1.5.34 (NUREG-0910 NRCS 2-24.6.a)
b.	Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Destroy paper documents 2 months after creation of ADAMS electronic record.	TBD

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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. <u>PERMANENT.</u> Cut-off electronic files at close of fiscal year. Transfer to the National Archives 2 years after cutoff. 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.	<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	<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

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	considered part of the official records.		
11.	<u>Inspection and Enforcement Case Files</u> Files documenting the inspection activity and enforcement actions relating to power and non-power reactors, byproduct, source, and special nuclear material licenses, including copy of license, inspection and follow-up reports, inspectors' notes, enforcement action documents, final certification that premises are free of radiological contamination, and related documentation. Decommissioning records for this series are permanent and require maintenance as a subset of each file as specified in SECY-90-316. Reference Item c. below for authorized disposition. Post 1983 Regional inspection and enforcement documentation for byproduct, source, and special nuclear material, are retained with the licensing case file and follow the authorized disposition for material licensing case files (Items 6.b, c, d, and e). For the purposes of applying the authorized disposition instructions, a withdrawn or denied license application is considered terminated on the date of withdrawal or denial. Excluded are classified and safeguards information records that will not be maintained in ADAMS, but will be maintained in paper format. (See NRCS 2-24.7)		

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- a. ~~Regional inspection and enforcement case files for material licenses terminated 1965 and prior. (This schedule is included for clarity. There is no change to the existing schedule and there is no ADAMS component.)~~

~~Permanent. Transfer to NARA at end of FY 1996.~~

~~N1-431-92-1
Item 1.a~~

(NUREG-0910
NRCS 2-24.7.a)

- b. Official case files including the decommissioning segment, except for those described in item a. above, located at Regional offices determined by the NRC to have exceptional value because of the historical significance of their contents or their uniqueness. Included are those inspection and enforcement case files that relate to the docket numbers retained permanently under NRC Schedule 2-20.9.a (NRR's permanent Nuclear Power Plant Docket Files) and NRC Schedule 2-24.4.d (NMSS and Regional permanent materials licensing case files), i.e., those files that:

- Result in judicial decisions or legislation that affect the functions and activities of NRC;

- Result in significant changes in regulatory activities and procedures; or

- Were the subject of Congressional investigation or were of great public interest.

NARA approval
not needed

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(1)	Paper records created before 04/01/2000.	<u>Permanent</u> . Retain current fiscal year and last four years in Regional file room. Retire, by facility, to WNRC through OCIO annually if the records consist of at least one cubic foot and are over five years old. Closing date is the termination date following completion of decommissioning procedure (which is the license date plus 40 years). Transfer to NARA 20 years after termination of license.	N1-431-92-1 Item 1.b (NUREG-0910 NRCS 2-24.7.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 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 upon license termination following completion of decommission procedure. Convert image files to paper,	TBD

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	<p><u>PERMANENT.</u> Cut-off electronic files upon license termination following completion of decommissioning procedure. 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>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>(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.</p>	<p><u>Permanent.</u> Cut off electronic files with related PDF files and TIFF files. Transfer to NARA according to regulations found in 36 CFR § 1228.188 when the PDF files and TIFF files are transferred. Destroy NRC copy 18 years after transferring record to NARA.</p>	TBD
	<p>c. Decommissioning records segment of disposable inspection and enforcement case files relating to power and non-power reactors located at Regional offices consisting of Regional records relating to the following types of documents:</p>		
	<p>1. Application for Possession-Only license.</p>		

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	2. Possession-Only license amendment and any associated technical specifications (TS).		
	3. Decommissioning or Dismantling Plan and associated TS changes.		
	4. Requests for additional information on applications for Possession-Only licenses, Decommissioning and Dismantling Plans, and responses from licensee.		
	5. Federal Register Notices for applications for Possession-Only licenses and Decommissioning and Dismantling Plans.		
	6. Decommissioning and Dismantling Orders.		
	7. Final site surveys by licensee.		
	8. Final site surveys by Regional inspectors.		
	9. All license amendments and associated TS changes following the initial application by the licensee for Possession-Only license.		
	10. All documents related to determining the appropriate amounts for decommissioning of facilities, including cost estimates, certifications of financial assurance for decommissioning or decommissioning funding plans. This item excludes		

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	documents related to funding methods, standby trust agreements, letters of credit, insurance policies, self-guarantee documents, or other monetary instruments that are maintained by NMSS or the Regions. (See Item 6.d)		
	11. Records of spills and other unusual occurrences involving the spread of contamination in and around the facility, equipment, or site.		
	12. License termination orders and associated safety evaluations.		
	13. As-built drawings and modifications of structures and equipment in restricted areas where radioactive materials were used or stored and locations of possible inaccessible contamination.		
	14. Any additional documents which refer to decommissioning, decontamination, or termination of the license, including interim or partial decommissioning of specific facilities at any time during the history of licensed operations.		
	15. Any enforcement documents related to decommissioning and decontamination activities. Decommissioning records segment of disposable inspection and enforcement case files relating to post 1983 Regional		

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	fuel facilities, transportation, byproduct, source, and special nuclear material licenses are filed with the related material licensing case files. Reference the records schedules for the material licensing case files contained in Regional schedule 6.b, c, d, and e for the material licensing decommissioning records types and their authorized disposition.		Supersedes. N1-431-92-1, Item 1 c to revise the description of 1.c.10
(1) Paper records created before 04/01/2000.		<u>Permanent.</u> Retain current fiscal year and last four years in Regional file room. Retire, by facility, to WNRC through OCIO annually if the records consist of at least one cubic foot and are over five years old. Closing date is termination date following completion of decommissioning procedure (which is the license date plus 40 years). Transfer to NARA 20 years after termination of license.	<p><i>modified by agency email dated 2/2/02 tas</i></p> <p>N1-431-92-1 Item 1 c (NUREG-0910 NRCS 2-24.7.c)</p>
(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		Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD

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	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 TIFF files.	<u>Permanent.</u> Cut off electronic files upon licence termination following completion of decommissioning procedure. 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
	<u>PERMANENT.</u> Cut-off electronic files upon license termination following completion of decommissioning procedure. 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.		
	(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 18 years after transferring record to NARA.	TBD

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d.	All documents related to funding methods for financial assurance for decommissioning, including standby trust agreements, letters of credit, surety bonds, statements of intent, certificates of deposit, government securities, external sinking funds, parent company or self guarantees, standby trust agreements, decommissioning cost estimates, financial tests, or other financial assurance instrument documentation.	Cut off upon license or certificate termination following completion of decommissioning procedure. Return documents to licensee in accordance with Management Directive (MD) 8.12.	<i>modified by agency email dated 2/7/02 tcs</i> TBD; Based on a revision to the description of N1-431-92-1, Item 1.c.10 (NUREG-0910 NRCS 2-24.7.c.10)
(1)	Paper records created before 04/01/2000.		TBD; Based on revision to N1-431-92-2 Item 1.a.10 (NUREG-0910 NRCS 2-20.9.b.10)
(2)	Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Forward paper documents to the Financial Assurance Instrument Custodian for storage in an approved container per MD 8.12. Upon termination of license or certificate or superseding of the document, return the superceded documents to the licensee.	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	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD

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	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 upon license or certificate termination following decommissioning procedure. Destroy 20 years after cutoff.	TBD
e.	Other case files in Regional offices that do not meet criteria for permanent retention, excluding the decommissioning segment.		
	(1) Paper records created before 04/01/2000.	Retain current fiscal year and last four years in Regional file room. Retire, by facility, to WNRC through OCIO annually if the records consist of at least one cubic foot and are over five years old. Closing date is the termination date following completion of decommissioning procedure (which is the same as license date plus 40 years). Destroy 20 years after termination of license.	N1-431-92-1 Item 1.d (NUREG-0910 NRCS 2-24.7.d)
	(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

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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 upon license termination following completion of decommissioning procedure. Destroy NRC copy 20 years after cutoff.	
f.	Case files of both Headquarters and Regional offices, consisting of material remaining after files are transferred to a State under agreement covering transfer of regulatory function.		
	(1) Paper records created before 04/01/2000.	Destroy 1 year after official file is transferred to the Agreement State.	N1-431-81-5 Item 4.4.6.b.(3) (NUREG-0910 NRCS 2-24.7.f)

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(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 upon close of the fiscal year following transfer of official license to the Agreement State. Destroy 1 year after cutoff.	TBD

~~12. 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 by agency
2/28/02 tu*

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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.

*Withdrawn
by agency
2/28/02 tw*

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.

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(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.	Permanent. 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

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InForms, e-mail, etc.) and electronic records received from outside the agency.

(4) ADAMS PDF and TIFF files.

PERMANENT. Cut-off electronic files when case is closed. Transfer to the National Archives 2 years after cutoff. 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 in 10-year blocks after 20 years coinciding with the transfer of the paper case files.

Permanent. 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

(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 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

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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

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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 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)

13. Licensee Mismanagement Files

Licensee reports and other records relating to incidents of the mismanagement of radiation administered to individuals by licensees (primarily doctors or other medical facilities) containing name of individuals and other data pertaining to the mismanagement.

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

Files to be maintained by licensee or State office of radiological safety for 75 years

NC1-431-81-5
Item 1.4.26

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		from date of report. If records are deposited with NRC, destroy 75 years from date of report.	(NUREG-0910 NRCS 2-24.8)
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 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 75 years after cutoff.	TBD
14.	<u>Nuclear Material Accountability Worksheets</u> Worksheets maintained by Regional inspectors in accounting for nuclear materials located at NRC licensed facilities.		

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a.	Paper records created before 04/01/2000.	Destroy when superseded or no longer needed.	NC1-431-81-5 Item 4.4.12 (NUREG-0910 NRCS 2-24.10)
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 files, bit-mapped 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 5 years after cutoff.	TBD

15. Personnel Exposure Files

Records Accumulated to measure the degree of radiation exposure of individuals to external radiation and internally deposited isotopes.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA-APPROVED CITATION</u>
a.	Individual NRC personnel folders containing data and radiation exposure.		
(1)	Paper records created before 04/01/2000.	Destroy 75 years from the date of the creation of the record.	NC1-431-81-5 Item 1.4.25.a (NUREG-0910 NRCS 2-24.12.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 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 75 years after cutoff.	TBD

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b.	Personal Dosimetry Processing Reports.		
(1)	Paper records created before 04/01/2000.	Destroy 75 years from date of report.	Supersedes: NC1-431-81-5 Item 1.4.25.b to revise series title. (NUREG-0910 NRCS 2-24.12.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 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 75 years after cutoff.	TBD

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16.	<p><u>Radiation Protection Program Records</u></p> <p>Files located in NMSS and the Regions documenting the management and implementation of the NRC's internal radiation protection program, and compliance by the NRC and its employees with the provisions of NRC Management Directive (MD) 10.131.</p> <p>Records include reports of lost, stolen, or missing radioactive material; reports of overexposure, excessive levels, and concentrations of radioactive material; surveys and records documenting equipment calibrations, and computations determining radiation exposure hazard or compliance with the requirements of Management Directive 10.131; records of measurements and calculations to evaluate the release of radioactive effluent to the environment; records documenting compliance with the dose limit for individual members of the public; records of waste disposal; and all correspondence, reports, surveys, audits, and reviews related to the implementation, compliance, and management of the NRC Radiation Protection Program.</p> <p>a. Paper records created before 04/01/2000.</p>	<p>Cut off at close of fiscal year. Retain 2 years then retire to OCIO in annual blocks. Destroy when 10 years old.</p> <p>75 modified by agency 1/28/02 tcr</p>	TBD

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b.	Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Destroy paper documents 2 months after creation of ADAMS electronic record.	TBD
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 packages; and ADAMS digital signature and concurrence data.	Cut off electronic files at close of fiscal year. Destroy 10 75 years after cutoff. <i>modified by agency 1/28/02 tes</i>	TBD
17.	<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		

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	and Nuclear Waste comments, Commission papers, transcripts, indexes, and <i>Federal Register</i> Notices.		
	a. Official case files created by Regional offices.		
	(1) Paper records created before 04/01/2000.	<u>Permanent</u> . Cut off when final 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.	Supersedes: NC1-431-85-1 Item 1.a to clarify cutoff and blocking. (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 final regulation is issued through notice in the	TBD

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PERMANENT. Cut-off electronic files when final regulation is issued through notice in the *Federal Register*. Transfer to the National Archives 2 years after cutoff. 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.

Federal Register. 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.

- (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