

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA Use Only)	
TO: NATIONAL ARCHIVES AND RECORDS ADMINISTRATION WASHINGTON, DC 20408		JOB NUMBER NI-431-08-22	
1. FROM (Agency or establishment) U.S. Nuclear Regulatory Commission		DATE RECEIVED 9/12/08	
2. MAJOR SUBDIVISION or PROGRAM ASLB and Office of the Secretary of the Commission		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Deborah H. Armentrout, CRM	5. TELEPHONE 301-415-7228	DATE 9/12/08	ARCHIVIST OF THE UNITED STATES [Signature]

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>6</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,		
<input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.		
DATE 9/4/08	SIGNATURE OF AGENCY REPRESENTATIVE Russell Nichols <i>Deborah Armentrout, CRM</i>	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 GRS or Superseded Job Citation	10.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>Title: ADJUDICATORY HEARING SUPPORT SYSTEMS (See Attached Schedule)</p> <p><i>[Signature]</i> ASLB PSAS Director 9/29/08 Date</p> <p><i>[Signature]</i> SECY Executive Assistant 9/4/08 Date</p> <p><i>[Signature]</i> Office of General Counsel 9/3/08 Date</p>		

U. S. Nuclear Regulatory Commission
ADJUDICATORY HEARING SUPPORT SYSTEMS

ADJUDICATORY HEARING SUPPORT SYSTEMS

A series of interrelated information systems (also known as the Meta-System) support the hearings for licensing or enforcement action involving a facility that produces or uses nuclear materials. The systems contain records intended to be used during the adjudicatory process and provide equal access to all parties during the pre-hearing, hearing, and post-hearing phases of the proceedings. These systems include:

- Digital Data Management System (DDMS) – Provides real time support for the ASLBP hearings by making the previously uploaded hearing records available during the proceeding in the ASLBP hearing rooms located at NRC Headquarters, MD, Las Vegas, NV, and at other remote locations.
- Electronic Hearing Docket (EHD) – Provides publicly available access to electronic hearing docket documents to all parties to the adjudicatory proceedings.
- High-Level Waste Electronic Hearing Docket (HLW-EHD) – A sub-system of EHD that provides publicly available access to electronic hearing docket documents to parties to the adjudicatory proceedings, specifically for the high-level radioactive waste repository at Yucca Mountain, Nevada.
- Licensing Support Network (LSN) – Documents in support of or in opposition to the Department of Energy's construction of a high-level radioactive waste repository at Yucca Mountain, NV are made available via the internet within LSN. A uniform search engine provides support for document searches. LSN supports a congressional mandate that NRC reach a determination on the DOE's application for a high-level radioactive waste repository at Yucca Mountain.
- Electronic Information Exchange (EIE) – Provides a secure method to transmit electronic documents over the internet and to authenticate the individuals transmitting them. EIE allows the transmittal and acceptance of documents from parties to the hearings in electronic formats suitable for entry into ADAMS. Public Key Infrastructure (PKI) and digital signaturing is used by EIE to secure the records. EIE provides the means to convey the records, however it does not function as a records repository.

This schedule is concerned with the working copies of records created, stored and managed during the administrative adjudication process. The official NRC records are contained in ADAMS or another approved record keeping system. The approved schedule items from NUREG 0910, "NRC Comprehensive Records Disposition Schedule," concern records series for the records managed by these systems and are summarized in Appendix A of this schedule. The records in the adjudicatory hearing support systems are maintained separately from the ADAMS records.

1) Inputs/Source Documents

Case files documenting licensing or enforcement actions involving a facility that produces or uses nuclear materials, including the licensing of geologic repositories for high level radioactive waste at Yucca Mountain, NV. Included are license applications and amendments, site characterization studies, environmental report, hearing transcripts, pre-filed written testimony, related documentation and hearing exhibits, including correspondence, design and construction documentation, quality assurance documentation and any remaining case files. The official NRC record copies are currently maintained in electronic formats in ADAMS, or another approved record keeping system. Copies of records used during the hearing and licensing proceedings are also maintained in EHD and DDMS as working copies for use by the parties prior to and during the docket hearings.

- a. Electronically formatted source records or records that may be converted to an electronic format

①

Records maintained in electronic repositories (i.e., EHD) used by the NRC, Department of Energy or other parties to the licensing process. Records not currently in an electronic format are converted to an appropriate electronic format. An electronic copy of the annotated record is provided to the ADAMS Document Processing Center for storage as the NRC record.

Disposition: TEMPORARY. Close the records (cut off) at the completion of the hearings and any anticipated appeals. Destroy or delete the records at cutoff.

- b. Source records that cannot be digitized

②

Records that are not able to be effectively converted to an electronic document. Examples may include physical samples of soil, and some video or audio tapes.

Disposition: TEMPORARY. Metadata is prepared identifying the records and their storage location and entered into LSN. Close the files (cut off) at the completion of the hearings and any planned appeals. Destroy or delete the records at cut off.

2) Master File

No Master Files of unique records are managed by these systems.

3) Outputs

- a. Hearing Transcripts and Exhibits

- 1) Written Transcripts. Official files of the Commission maintained in the Office of the Secretary containing copies of Licensing Board and Appeal Panel Orders and transcripts of the hearings, exhibits, and filings.

③

Disposition: PERMANENT. Close the files (cut off) at the completion of the hearings and any anticipated appeals and place them into ADAMS or other approved records keeping system. Transfer an electronic copy to the National Archives for pre-accessioning five years after cut off. Transfer to the legal custody of the National Archives 20 years after cut off in accordance with NARA Bulletin 2004-02 and NARA regulations at 36 CFR 1228.270 and destroy the NRC copy of the files. [Supersedes NUREG 0910 Part 22, Item 1, "Commissions Decisional License Docket Files", (NC1-431-81-5, Item 1.3.16) and (N1-431-01-2, Item 1.d), and NUREG 0910, Part 4, Item 9, "Transcripts of ASLBP Hearings" (NC1-431-81-5, Item 2.2.4)]

- 2) Electronic Transcripts. Electronic audio or video files of the hearing proceedings captured by DDMS that are fully transcribed into a Written Transcript. Documentation providing input to finalize and correct the written hearing transcripts.

④

Disposition: TEMPORARY. Cut off and destroy the audio and video tapes and files when transcribed. [Reference NUREG 0910, Part 22, Item 11, "Stenographic Tapes of Commission Meetings", (NC1-431-81-5, Item 1.2.9)]

4) ~~System Documentation~~

System Documentation has been developed for these systems in accordance with NUREG/BR-0167, "Software Quality Assurance Program & Guidelines". The following work products are typical of the documentation developed and stored in Rational ClearCase.

- Data Dictionary
- Build and Installation Instructions
- Logical Design
- Online Help
- Operational Support Guide
- Physical Design
- Project Action Plan
- Project Charter
- Tactical Integration Plan
- Test Plan
- Training Material
- User Guide

a. Initial and Revised Documentation.

GRS 20.11a1

Disposition: TEMPORARY. Retain current revisions of these records in a controlled repository (e.g., Rational ClearCase or ADAMS) until development is complete and the software is operational. Transfer the final approved versions and subsequent revisions of these documents to ADAMS, or other currently approved record keeping system, in a format acceptable to the ADAMS Administrators and Records Officer. Cut off when the documents are superseded and the revisions are placed in ADAMS. Destroy 1 year after cut off.

b. Final System Documentation.

Disposition: TEMPORARY. Cut off the information system documentation as each system is decommissioned. Destroy 1 year after cut off. _____

Attachment A -- ADJUDICATORY HEARING SUPPORT SYSTEMS

BACKGROUND:

Responsibility for the Adjudicatory Hearing Support Information Systems is shared by three NRC organizations as indicated below:

- Digital Data Management System (DDMS) – Atomic Safety and Licensing Board Panel (ASLBP)
- Electronic Hearing Docket (EHD) – Office of the Secretary of the Commission (SECY)
 - High-Level Waste - Electronic Hearing Docket (HLW-EHD) – Office of the Secretary of the Commission (SECY)
- Licensing Support Network (LSN) – Atomic Safety and Licensing Board Panel (ASLBP)
- Electronic Information Exchange (EIE) – Office of Information Services (OIS)

Additional information on these systems is provided below:

1. DIGITAL DATA MANAGEMENT SYSTEM (DDMS)

The Digital Data Management System is a hearing support system that combines workflow and portal functionality with an electronic document capture system intended to support data collection, accessibility, evidence presentation and transcript preparation for NRC licensing or enforcement actions involving a facility that produces or uses nuclear materials, especially those concerning the high-level radioactive waste repository. DDMS is administered by the NRC's Atomic Safety and Licensing Board Panel.

DDMS provides a supplemental source of information concerning the case files documenting the licensing of geologic repositories for high level radioactive wastes. Included are license applications, site characterization, environmental report, license amendments, hearing transcripts, pre-filed written testimony, related documentation, and hearing exhibits. DDMS will also be used to support hearings and licensing processes for power plant operating licenses, license renewals, and enforcement actions.

2. ELECTRONIC HEARING DOCKET SYSTEM (EHD) and HIGH-LEVEL WASTE – EHD (HLW-EHD)

The Electronic Hearing Docket System (EHD) provides a view of the docket contents for NRC adjudications to authorized participants. The docket records may be electronically submitted and retrieved and made available to be viewed by the authorized system users based on their need. The records are made available to participants of the hearings at remote hearing locations through DDMS. A sub-system of EHD (HLW-EHD) has been established for the records relating to the high-level radioactive waste storage repository hearings, especially for the pre-license and post-docketing phase of the proceedings. EHD and HLW-EHD are administered by the NRC's Office of the Secretary of the Commission.

EHD also contains a Protective Order File, a hearing proceeding folder that houses unclassified, non-safeguards, sensitive information. Access to the Protective Order Files is controlled through a Commission or ASLBP Protective Order through a system authenticated digital certificate and password to individuals requiring access.

3. LICENSING SUPPORT NETWORK (LSN)

The Licensing Support Network (LSN) provides a web-based portal (LSNNET.GOV) used for shared access to participant's document collections in support of or in opposition to the high-level radioactive waste repository at Yucca Mountain. The LSN will provide a source of expedited information exchanges to be used during the discovery phase of the HLW proceeding. LSN is administered by the NRC's Atomic Safety and Licensing Board Panel.

LSN is a World Wide Web approach to connecting each party's documentary collections on their individual platforms and software and making them available to the other parties to the licensing proceedings. LSN is composed of:

- Microsoft Windows 2003 Servers
- IIS Web Servers
- Autonomy text search and retrieval COTS software
- Microsoft.Net custom software to facilitate automated information gathering and indexing (spidering) and supporting back-end processes
- ASPX for the Web display pages

4. ELECTRONIC INFORMATION EXCHANGE SYSTEM (EIE)

The Electronic Information Exchange System (EIE) was developed by the NRC to meet the requirements of the Paperwork Elimination Act in FY 2000. EIE is used by the docket hearing support processes to provide a vehicle for transmitting digitally signed documents over the Internet in a manner that ensures their legal standing. EIE uses public-key infrastructure (PKI) and digital signature technologies to authenticate the identity of the person submitting such documents. EIE has supported electronic interactions between the NRC and the public since 2001. EIE is administered by the NRC's Office of Information Services.

The official NRC records themselves are the application, safety analysis and environmental studies with their associated amendments, correspondence, design and construction documentation, quality assurance documentation and any remaining case files. These records are currently maintained as NRC records in electronic formats in ADAMS, or another approved record keeping system. Records used during the hearing and licensing proceedings are also maintained in EHD and DDMS as working copies for use by the parties prior to and during the docket hearings. Existing approved records schedules that cover records maintained within these electronic systems are listed in the table below:

CRS – NUREG 0910, Section 2			NARA Job Number	
Part	Item	Description	Job Number	Item
1	17.b	Video Recording Files – recordings of public meetings	NC1-431-81-4	3.c
2	1	ACNW Meeting Files	N1-431-00-10	2
2	4	ACNW Project Case Files	N1-431-00-10	4
2	5	ACNW Committee and Conference Records	N1-431-00-10	5
2	9	Transcripts of ACNW Meetings	N1-431-00-10	8
2	10	Waste Management Licensing Files	N1-431-00-10	9
3	1	ACRS Meeting Files	N1-431-00-9	1
3	6	ACRS Committee and Conference Records	N1-431-00-9	5
3	12	Nuclear Power Plant Docket Files	NC1-431-81-5	3.10
			N1-431-00-9	10
3	13	Nuclear Reactor Project Files	N1-431-00-9	11
3	14	Transcripts of ACRS Meetings	NC1-431-81-5	3.4
			N1-431-00-9	12
4	2	ASLBP Committee and Conference Records	N1-431-00-16	2.a
4	3	General Program Correspondence Files (Subject)	NC1-431-81-5	1.2.15a
			N1-431-00-16	3.a
4	9	Transcripts of ASLBP Meetings	NC1-431-81-5	2.2.4
12	6	Licensing Docket Formal Hearing Files	NC1-431-81-5	1.3.19.a
17	4	Docket Files for the Disposal of High-Level Radioactive Wastes in Geologic Repositories	N1-431-00-14	4.d

22	1	Commission's Decisional License Docket Files	N1-431-01-2	1.b
22	9	Regulatory History Files for Proposed and Final Rulemaking	N1-431-01-2	5.a
22	11	Stenographic Tapes of Commission Meetings	NC1-431-81-5	1.2.9
22	12	Transcripts of Commission Meetings	NC1-431-81-5	2.3.8
			N1-431-01-2	7