

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA Use Only)	
TO: NATIONAL ARCHIVES AND RECORDS ADMINISTRATION WASHINGTON, DC 20408		JOB NUMBER N1-431-10-2	
1. FROM (Agency or establishment) U.S. Nuclear Regulatory Commission		DATE RECEIVED 9/14/10	
2. MAJOR SUBDIVISION or PROGRAM Office of the Inspector General		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 <i>Deborah H. Armentrout, CRM</i> Deborah H. Armentrout, CRM	5. TELEPHONE 301-415-7228	DATE 16 Sept 14	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 6 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	SIGNATURE OF AGENCY REPRESENTATIVE <i>Deborah H. Armentrout</i> Deborah H. Armentrout, CRM	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 GRS or Superseded Job Citation	10.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)
	Title: Records of the Office of Inspector General <div style="display: flex; justify-content: space-between; align-items: flex-end;"> <div> <i>David Lee</i> _____ OIG Deputy Inspector General </div> <div> 7/22/10 _____ Date </div> </div> <div style="display: flex; justify-content: space-between; align-items: flex-end; margin-top: 20px;"> <div> <i>Jim Grogan</i> _____ Office of General Counsel </div> <div> 8/23/10 _____ Date </div> </div>	See list of deleted citations in Attachment 1. N1-431-00-1, Item 1.d N1-431-00-2, Item 1.a N1-431-00-2, Item 1.b N1-431-00-2, Item 1.d N1-431-00-1, Item 3.a(4) N1-431-00-1, Item 3.b(4) N1-431-00-1, Item 3.c(4) N1-431-00-1, Item 5.a NC1-431-81-5, Item 1.1.6 (for OIG only)	

**U.S. Nuclear Regulatory Commission
Office of the Inspector General (OIG)**

Records of the Office of the Inspector General

The United States Congress passed the Inspector General Act (IG Act) in 1978 to ensure integrity and efficiency within the Federal Government and its programs. NRC's OIG was established as a statutory entity on April 15, 1989, in accordance with the 1988 amendment to the IG Act. NRC OIG's mission is to (1) independently and objectively conduct and supervise audits and investigations relating to NRC programs; (2) prevent and detect fraud, waste, and abuse; and (3) promote economy, efficiency, and effectiveness in NRC programs and operations. In addition, OIG reviews existing and proposed regulations, legislation, and directives and provides comments, as appropriate, on identified significant concerns. The Inspector General also keeps the NRC Chairman and members of Congress fully and currently informed about problems, recommends corrective actions, and monitors NRC's progress in implementing those actions. The OIG carries out its mission through its audit and investigative programs.

The following record disposition schedules were developed for records unique to the OIG. The records in this schedule may be in electronic, paper or another format, and the dispositions apply regardless of format; i.e., they are media neutral.

1. Audit Program Records

① a. Audit Reports with Significant Historical Value

Final Audit Reports and Evaluations with significant historical value that meet one or more of the following criteria:

1. The report is the result of Congressional interest; or
2. The report attracts national media attention; or
3. The report resulted in substantive changes in agency policies and procedures.

File contains the final issued report of audit or evaluation. Audit reports are also retained in ADAMS and made available on the NRC Web pages.

Disposition: PERMANENT. Cut off files at the end of the fiscal year in which the Audit or Evaluation Report is issued. Transfer to the National Archives (NARA) 10 years after cutoff.

15 per D. Armentrout 5/5/2014

② b. Audit Reports without Significant Historical Value

Final Audit Reports and Evaluations that do not meet the above criteria for significant historical value.

Disposition: TEMPORARY. Cut off files at the end of the fiscal year in which the Audit or Evaluation Report is issued. Destroy 10 years after cutoff. [Supersedes N1-431-00-1, Item 1.d] [NUREG-0910, Part 2.14, Item 1.c, page 2.14.2]

③ c. **Audit Working Paper Files**

File containing documents and supporting working papers accumulated and evaluated during an audit. Records may include program evaluations, survey questionnaires, audit entrance/exit letters, and correspondence. Documentation, including summaries of the material evaluated during the audit and links to the documents, audit findings and responses from NRC management, and actions taken or commitments to resolve the findings, including follow-up schedules, reports and correspondence are maintained in the files.

Disposition: TEMPORARY. Cut off files at the end of the fiscal year in which the findings are closed. Destroy when audit report is destroyed or transferred to the National Archives, whichever is applicable. [Supersedes N1-431-00-1, Item 1.d] [NUREG-0910, Part 2.14, Item 1.c, page 2.14.2]

④ d. **Audit Program Administrative Records**

File contains two types of records: Generally Accepted Government Auditing Standards (GAGAS) administrative records and general administrative records.

1. **GAGAS Administrative Files.**

Records that document Audit programs' adherence to Government Auditing Standards, including the OIG Audit Manual and documentation to support required continuing professional education.

2. **General Administrative Files.**

Records that document the administration of the OIG Audit program, including periodic activity reports, status reports, staffing schedules, and similar documents.

Disposition: TEMPORARY. Cut off files annually at the end of the fiscal year. Destroy 3 years after cutoff.

e. **Quality Assurance Reports**

File contains two types of reports: The annual quality assurance review and the triennial peer review. The report files include any findings and OIG commitments and finding resolutions.

⑤ i. **Annual Quality Assurance Review**

The quality assurance review is an internal evaluation program that is performed by OIG personnel (either by personnel in OIG/Audits or personnel in another component of OIG) or by an outside independent contractor/consultant. The quality assurance program is designed to assess whether OIG/Audits carries out its work in accordance with established policies and procedures, including GAGAS, applicable Office of Management and Budget (OMB) and Government Accountability Office (GAO) guidance, and statutory

provisions applicable to OIG/Audits. The review may also make recommendations for program efficiencies and effectiveness.

Disposition: TEMPORARY. Cut off at the end of the fiscal year the Quality Assurance Review is conducted. Destroy/delete 3 years after cutoff.

⑥ ii. Triennial Peer Review

The external peer review is conducted by another agency's OIG in accordance with the Council of Inspectors General on Integrity and Efficiency (CIGIE) guidelines. The objective of this peer review is to determine whether the internal quality control system is adequate as designed and complied with in all material aspects to provide reasonable assurance that applicable auditing standards, policies, and procedures are met.

Disposition: TEMPORARY. Cut off at the end of the fiscal year in which the Peer Review report is issued. Destroy/delete 6 years after cutoff.

2. Investigation Program Records

a. Allegation Files

Files document allegations of fraud, waste, abuse and employee/management misconduct. Each file contains a statement of the alleged wrongdoing received via the OIG Hotline, Internet, telephone or other means and may contain supporting material. Files may also include clearance and referral letters and closure memos.

⑦ i. Allegations Resulting in an Investigation

If the allegation results in an investigation, the allegation records will be managed in the corresponding Investigation Case File.

Disposition: PERMANENT. At the end of the fiscal year, transfer allegation records to Investigation Case file and dispose per that schedule. (See below, Item 2.b)

⑧ ii. Referred Allegations

Records of an allegation referred to another agency or NRC office for action.

Disposition: TEMPORARY. Cut off the allegation file at the end of the fiscal year when the issue described in the Referral Letter is resolved. Hold the allegation file in OIG office for a minimum of 2 years after cutoff. Destroy 10 years after cutoff.

⑨ iii. Closed Allegations

Allegations that are determined not to warrant a formal investigation or are too vague and are closed to the file.

Disposition: TEMPORARY. Cut off allegation files at the end of the fiscal year in which the allegation is closed. Destroy the allegation file 5 years after cutoff.

b. Investigation Case Files

(10)

Records documenting the conduct and results of an OIG Investigation, Preliminary Investigation, or Proactive Initiative including the original Allegation, the Investigation Plan, Interview Notes, Chronological Notes, Investigative Techniques, Analysis, Findings and Conclusions, Reference Material and Regulations & Policies, and reports. Records may also include reports of findings of criminal activity and Management Implication Reports.

Also included are files for Event Inquiries and Special Inquiries, which are investigations concerning alleged inadequacies in NRC processes and programs. Event Inquiries and Special Inquiries are also retained in ADAMS as reference copies.

Disposition: PERMANENT. Cut off at the close of the fiscal year in which the case is closed. Transfer to the Federal Records Center 3 years after the cut off. Transfer to NARA 20 years after cutoff. Retain an electronic copy of the file until no longer needed. [N1-431-00-2, Item 1.b] [NUREG-0910, Part 2.14, Item 4.b, page 2.14.11]

c. Other Investigation Program Records

(11)

i. Confidential Source Files

Records include logs and confidential source files containing recruitment information, reports, debriefings, summaries, messages, and all other documentation pertaining to confidential sources. Used to limit access to the identity of confidential sources and documented information obtained from confidential sources that may be pertinent in investigations. Files are retained in secure office safes.

Disposition: TEMPORARY. Cut off at the end of the fiscal year in which the case is closed. Destroy 2 years after cut off.

(12)

ii. Investigation Program Administrative Records

Records that document the administration and status of the Investigation program, including liaison activities, biweekly activity reports, staffing, and similar documents.

Disposition: TEMPORARY. Cut off at the end of the fiscal year. Retain records in OIG office for a minimum of 2 years. Destroy 10 years after cutoff.

d. Quality Assurance Reports and Associated Records

13 i. CIGIE Peer Review Program Administrative Records

Records that document the Investigative Program's adherence to CIGIE Quality Standards for Investigations including the OIG Special Agent Handbook and documentation to support required periodic Firearms Qualification and LEAP certification.

Disposition: TEMPORARY. Cut off files annually at the end of the fiscal year. Destroy/delete 6 years after cutoff.

14 ii. Annual Quality Assessment Review

The Annual Quality Assessment Review is an internal evaluation program that is performed by an independent contractor/consultant. It is designed to assess whether OIG/Investigations carries out its work in accordance with established policies and procedures, including Standards of Ethical Conduct of the Executive Branch (5 CFR 2635), Quality Standards for Investigations of the Council of Inspectors General on Integrity and Efficiency, and the Attorney General Guidelines. The review may make recommendations for program efficiencies and effectiveness.

Disposition: TEMPORARY. Cut off at the end of the fiscal year the review is conducted. Destroy/delete 3 years after cutoff.

15 iii. Triennial Investigative Quality Assessment Review (QAR)

The external CIGIE QAR, or peer review, is conducted by another CIGIE OIG in accordance with CIGIE guidelines. The objective is to determine whether internal control systems are in place and operating effectively to provide reasonable assurance that professional investigative standards are being followed.

Disposition: TEMPORARY. Cut off at the end of the fiscal year in which the Qualitative Assessment Review is issued. Destroy/delete 6 years after cutoff.

3. OIG Common Records

a. General OIG Program Correspondence Files

16 i. Program Correspondence Files at the Office of Inspector General Level documenting policy making decisions, or significant OIG program management functions and program operations.

Disposition: PERMANENT. Cut off files at the end of the fiscal year when superseded, obsolete, or no longer needed. Retain in OIG office for a minimum of 10 years after cutoff. Transfer to NRC's records center after 10 years if volume warrants. Transfer to NARA 20 years after cut-off. [Supersedes N1-431-00-1, Item 3.a] [NUREG-0910, Part 2.14, Item 3.a, page 2.14.6]

- (17) ii. Program Correspondence Files Created or Received Below the Office of Inspector General Level documenting less significant policy making decisions, program management functions and sub-program operations.

Disposition: TEMPORARY. Cut off at close of fiscal year. Hold in OIG Offices for a minimum of 2 years. Destroy 10 years after cutoff. [Supersedes N1-431-00-1, Item 3.b] [NUREG-0910, Part 2.14, Item 3.b, page 2.14.8]

- (18) iii. Routine Program Correspondence Files Created or Received at All Organizational Levels documenting program transactions of a routine or recurring nature.

Disposition: TEMPORARY. Cut off at the close of the fiscal year. Destroy 3 years after cutoff, or sooner if no longer needed for business purposes. [Supersedes N1-431-00-1, Item 3.c] [NUREG-0910, Part 2.14, Item 3.c, page 2.14.9]

b. OIG Publications

- i. Strategic Plan

(19) The Strategic Plan is prepared by OIG staff to establish the OIG's programmatic goals over a five year period. The strategic goals presented in this plan comprise the essential elements necessary to effectively realize the OIG's principal mission.

Disposition: PERMANENT. Cut off at the end of the fiscal year in which a new plan is issued. Transfer to NARA when 25 years old.

- (20) ii. OIG Annual Plan

Annual planning document that sets the year's goals, objectives, and established guidelines for performance of the OIG Audit and Investigative programs. It reflects the interest and concerns of Congress, the NRC Commission and managers, GAO, the nuclear industry, and public interest groups, and provides the necessary linkage to the agency's strategic goals and objectives.

Disposition: TEMPORARY. Cut off annually at the end of the fiscal year. Destroy/delete 6 years after cutoff.

- (21) iii. Semiannual Report

A report provided to Congress every 6 months which summarizes the activities of the OIG. This series also includes the working papers used to prepare the Report, including drafts of the text.

- a.) Semiannual Report, final report as submitted including significant background and source information.

Disposition: PERMANENT. Cut off at the end of the fiscal year. Transfer to NARA when 25 years old.

- 22 b.) Semiannual Report Working Papers, includes the remainder of the working papers used to prepare the semiannual report and drafts.

Disposition: TEMPORARY. Cut off at the end of the fiscal year when the report is approved and distributed. Destroy 3 years after cutoff.

iv. Annual Performance Report

- 23 The OIG Performance Report provides the Inspector General with a detailed analysis of the extent to which OIG accomplished its intended annual goals and objectives.

Disposition: TEMPORARY. Cut off at the end of the fiscal year. Destroy 3 years after cut off.

v. Annual OIG Reasonable Assurance Reports

- 24 Annual letters from the Inspector General certifying that the OIG is managed in a manner that prevents waste, fraud or abuse and that describes the controls in place to justify the certification.

Disposition: TEMPORARY. Cut off files at end of fiscal year. Delete or destroy 5 years after cutoff.

- 25 vi. OIG copies of NRC and/or external directives and publications issued by other Government agencies, NUREG-series publications, and other pamphlets, reports, leaflets, and manuals relating to NRC OIG matters.

Disposition: TEMPORARY. Cut off at the end of the fiscal year when superseded or revised. Destroy or delete the superseded version at cutoff. [NC1-431-81-5, Item 1.1.14] [NUREG-0910, Part 1.1, Item 6, page 1.1.3]

c. **Regulatory Commentary Files**

Files pertaining to OIG's review of existing and proposed NRC legislation, regulations, policy, and implementing Management Directives pursuant to the Inspector General Act of 1978, as amended. File includes any issues raised by the OIG.

Regulatory Review Comments

- 26 Review comments identifying OIG concerns, observations, and suggestions on proposed and existing NRC statutes, regulations, and policies. Regulatory comments are provided to document OIG's objective analysis of vulnerabilities

created within agency programs and operations by proposed or existing statutes, regulations, or policies.

Disposition: PERMANENT. Cut off files at the end of the fiscal year when superseded, obsolete or no longer needed. Retain in OIG office for a minimum of 10 years after cutoff. Transfer to NARA 20 years after cut-off. [Supersedes N1-431-00-1, Item 5.a.4] [NUREG-0910, Part 2.14, Item 6.a, page 2.14.15]

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d. Legal Interpretations

Legal interpretations and other records providing guidance or establishing precedents for investigations, and any other legal matters under the jurisdiction of the OIG.

Disposition: PERMANENT. Cut off files at the end of the fiscal year when superseded, obsolete or no longer needed. Retain in OIG office for a minimum of 10 years after cutoff. Transfer to NARA 20 years after cutoff. (Based on N1-431-00-12, Item 4 [NUREG 0910, Part 2.16.6, page 2.16.11])

BACKGROUND

This records disposition schedule for OIG records is updated to:

- Remove records series that are not created or maintained by OIG;
- Remove the portions of the existing schedule that refer to ADAMS and to recognize the role of OIGMIS in the capture and management of the records, including its future role as the electronic record keeping system for OIG, and
- Recognize the current OIG business processes, and the records created and managed by the Office.

The previously approved OIG records series are deleted as identified in this table. Superseded disposition schedules are identified in the schedule above.

NUREG 0910, Part 2.14 Items	Deleted NARA Job Number
<u>Audit Case Files</u> Item 1.a , Paper records created before 04/01/2000. Item 1.b , Paper records used as the source for ADAMS TIFF and ASCII files. Item 1.c , Copies of electronic files stored outside of ADAMS used to create the ADAMS PDF files.	N1-431-00-1, Item 1.a N1-431-00-1, Item 1.b N1-431-00-1, Item 1.c
<u>Committee and Conference Records</u> Items 2.a, 2.b, and 2.c	N1-431-00-1, Items 2.a, 2.b and 2.c
<u>General Program Correspondence (Subject Files)</u> Item 3.a.(1) , Paper records created before 04/01/2000. Item 3.a.(2) , Paper records used as the source for ADAMS TIFF and ASCII files. Item 3.a.(3) , Copies of electronic files stored outside of ADAMS used to create the ADAMS PDF files. Item 3.a.(5) , ADAMS document profiles	NC1-431-81-5, Item 1.2.15.a NC1-431-81-5, Item 1.2.15.b NC1-431-81-5, Item 1.2.15.c N1-431-00-1, Item 3.a.(2) N1-431-00-1, Item 3.b.(2) N1-431-00-1, Item 3.c.(2) N1-431-00-1, Item 3.a.(3) N1-431-00-1, Item 3.b.(3) N1-431-00-1, Item 3.c.(3) N1-431-00-1, Item 3.a.(5)
<u>Investigation Case files</u> Item 4.c Investigative Case Files (not Permanent) Item 4.e , Electronic records created or received as the source to create paper records that are filed in the investigation files. ...	N1-431-00-2, Item 1.c N1-431-00-2, Item 1.e
<u>Investigative Reports Made Publically Available</u> Item 5 , [Merged with Item 2.b, "Investigation Case Files, including Event Inquiries and Special Investigations"]	N1-431-00-1, Items 4.a. 4.b and 4.c
<u>Regulatory History Files</u> Item 6.a.(1) , Paper records created before 04/01/2000. Item 6.a.(2) , Paper records used as the source for ADAMS TIFF and ASCII files. Item 6.a.(3) , Copies of electronic files stored outside of ADAMS used to create the ADAMS PDF files. Item 6.a.(4) , ADAMS PDF and TIFF files Item 6.a.(5) , ADAMS document profiles and ADAMS document packages...	NC1-431-85-1, Item 1.a N1-431-00-1, Item 5.a.(2) N1-431-00-1, Item 5.a.(3) N1-431-00-1, Item 5.a.(4) N1-431-00-1, Item 5.a.(5)

**OFFICE OF THE INSPECTOR GENERAL MANAGEMENT INFORMATION SYSTEM
(OIGMIS)**

OIGMIS is an electronic collaboration tool used by the Office of the Inspector General that is built on a Lotus Notes/Domino platform consisting of three principal databases. These databases include:

- AutoAudit – contains documents created by and supporting the Audits performed by OIG. Documents in the system are created electronically and include Audit Reports and supporting work papers and audit follow-up documentation. Other information, for example training certificates, is typed directly into AutoAudit or scanned and attached to AutoAudit documents.
- MAGNUM -- contains documents created by and supporting the Investigations, Special Inquiries and Event Inquiries performed by OIG. MAGNUM stores final electronic documents, such as Reports of Investigations (ROI) as attachments, and chronological notes (typed into Lotus Notes). However MAGNUM also stores a reference to paper documents such as background information or evidence, which may be stored as a physical record with an assigned serial number in the case file. MAGNUM also provides a location to capture the hours each investigator has spent on cases.
- CCL – contains information concerning correspondence sent and received by the OIG. It is used to produce a tickler (Yellow Ticket) to manage actions resulting from the correspondence. Copies of correspondence may be attached to CCL.

Two additional supporting databases work within OIGMIS to facilitate access, management and maintenance of OIGMIS.

OIGMIS is used to store and distribute OIG files within OIG. The OIGMIS information is encrypted for security. Some OIG documents intended for public release are also contained in ADAMS as reference copies. However, because of concerns with control of access to ADAMS document libraries, only some of the OIG records are transferred.