

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: N1-431-00-1	DATE RECEIVED: 9/17/1999
1 FROM (Agency or establishment) U.S. Nuclear Regulatory Commission		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Office of the Inspector General		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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		DATE: 12-20-01 ARCHIVIST OF THE UNITED STATES: <i>John W. Paul</i>	
4. NAME OF PERSON WITH WHOM TO CONFER John Harris	5 TELEPHONE 301-415-5885		

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 18 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

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

DATE 9/13/99	SIGNATURE OF AGENCY REPRESENTATIVE <i>Dorenda J. Shelton</i>	TITLE NRC Records Officer
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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p>Agencywide Documents Access and Management System (ADAMS) Programmatic Records of the NRC Office of the Inspector General .</p> <p>ADAMS is an electronic information system that maintains the Nuclear Regulatory Commission's (NRC's) unclassified official programmatic and administrative records in a centralized electronic document repository. ADAMS is designed to meet all National Archives and Records Administration (NARA) regulations to ensure NARA approval of ADAMS as an official electronic recordkeeping system. Beginning January ^{April} 1, 2000, NRC headquarters and regional offices will no longer create or maintain paper-based record collections because the electronic documents in ADAMS will become the "official records" of the agency. The "official record" of documents maintained in ADAMS is a Portable Document Format (PDF) file or a Tagged Image File Format (TIFF) file with an associated document profile containing "fielded" data to describe the document and its attributes. In addition, any electronic data related to a digital signature and/or electronic data that evidence final NRC management and staff concurrence in a document is linked to and considered part of the official record.</p> <p>Records disposition schedules for the NRC records maintained in ADAMS are divided into two broad groups:</p> <ol style="list-style-type: none"> 1) Programmatic records created or received by each individual NRC office 2) Administrative records created or received by any NRC offices 		

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

REQUEST FOR RECORDS DISPOSITION AUTHORITY		L-1017/E BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-431-00-1	
1. FROM (Agency or establishment) U.S. Nuclear Regulatory Commission		DATE RECEIVED	
2. MAJOR SUBDIVISION Office of the Inspector General		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		

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 18 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 9/13/99	SIGNATURE OF AGENCY REPRESENTATIVE Brenda Jo. Shelton /S/; Revised 03/20/00	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 USF ONLY)
	<p>Agencywide Documents Access and Management System (ADAMS) Programmatic Records of the NRC Office of the Inspector General.</p> <p>ADAMS is an electronic information system that maintains the Nuclear Regulatory Commission's (NRC's) unclassified official programmatic and administrative records in a centralized electronic document repository. ADAMS is designed to meet all National Archives and Records Administration (NARA) regulations to ensure NARA approval of ADAMS as an official electronic recordkeeping system. Beginning April 1, 2000, NRC headquarters and regional offices will no longer create or maintain paper-based record collections because the electronic documents in ADAMS will become the "official records" of the agency. The "official record" of documents maintained in ADAMS is a Portable Document Format (PDF) file or a Tagged Image File Format (TIFF) file with an associated document profile containing "fielded" data to describe the document and its attributes. In addition, any electronic data related to a digital signature and/or electronic data that evidence final NRC management and staff concurrence in a document is linked to and considered part of the official record.</p> <p>Records disposition schedules for the NRC records maintained in ADAMS are divided into two broad groups:</p> <p>1) Programmatic records created or received by each individual NRC office</p> <p>2) Administrative records created or received by any NRC offices</p>		

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

RECORDS OF THE OFFICE OF THE INSPECTOR GENERAL
PROGRAMMATIC RECORDS

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ADAMS RECORDS SCHEDULES
OFFICE OF THE INSPECTOR GENERAL

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA- APPROVED <u>CITATION</u>
1.	<p><u>Audit Case Files</u></p> <p>Case files for program evaluations that assist management in identifying, analyzing and resolving program and organizational performance/policy issues, studies of areas of specific concern, and internally generated study initiatives designed to achieve organizational improvement. Case files include survey questionnaires, notes, rough draft proposals, correspondence, and other working files used to prepare final recommendations and reports.</p>		
	a. Paper records created before 04/01/2000.	Cut off files when case is closed. 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,	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA- APPROVED <u>CITATION</u>
	e-mail, etc.) and electronic records received from outside the agency.		
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 when case is closed. Destroy 10 years after cutoff.	TBD
2.	<u>Committee and Conference Records</u>		
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. <i>Excluding internal committee records covered by GRS 16.8.</i>		
	(1) Paper records created before 04/01/2000.	<u>Permanent</u> . 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 (NUREG-0910 NRCS 1-2.1.a.2),

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
			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.	<p><u>Permanent.</u> 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 NRC will determine the medium and format in which the records will be transferred. Destroy</p>	TBD
	Transfer to the National Archives 2 years after cut-off. At the time of transfer, NARA and NRC will determine medium and format in which records will be transferred as well as their arrangement. Every effort will be made to transfer records electronically in accordance with the standards for permanent electronic records contained in 36 CFR 1228.270 or standards applicable at the time. If transfer in an electronic medium is not feasible, prior to transfer, with NARA concurrence, records will be converted to paper or to microform.		

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA-APPROVED CITATION</u>
		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
	(3) Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and ASCII files that remain with	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD

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

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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
3.	<u>General Program Correspondence Files (Subject Files)</u>		
	Letters, memoranda, messages, studies, reports, forms, and other data documenting and/or implementing plans, policies, procedures, accomplishments, opinions, and decisions pertaining to Office of the Inspector General (OIG) program and staff activities.		

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
a. <u>Program Correspondence Files at the Office Director Level.</u>	Files that document policy-making decisions or significant OIG program management functions that are signed by or addressed to the Inspector General and Deputy Inspector General. 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.)	<u>Permanent.</u> Cut off at close of fiscal year. Hold 2 years and retire to the Washington National Record Center through OCIO. OCIO will transfer to NARA when 20 years old.	NC1-431-81-5 Item 1.2.15.a (NUREG-0910 NRCS 1-2.2.a)
(1) Paper records created before 04/01/2000.	(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	

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA- APPROVED CITATION
	automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.		
(4)	<p>ADAMS PDF files and TIFF files.</p> <p>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.</p>	<p><u>Permanent</u>. Cut off electronic files at close of fiscal year.</p> <p>Convert image files to paper, microform, magnetic tape, 3480 class tape cartridge, or any other medium and format that meets NARA regulations found in Subchapter B of 36 CFR Chapter XII and transfer to NARA 2 years after cutoff. Prior to transfer, NARA and NRC will determine the medium and format in which the records will be transferred. Destroy NRC copy 18 years after transferring record to NARA.</p>	TBD
(5)	<p>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

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

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	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.	reference or updating, whichever is later.	
	(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
4.	<u>Investigation Records Made Publicly Available</u>		
	Copies of final investigation reports and other investigative records duplicating paper records from Office of the Inspector General (OIG) investigations of alleged fraud, waste, abuse, and irregularities and violations of laws and regulations that are made publicly available. The official investigation reports and case file records are maintained by the OIG in paper files.		
	a. Copies of final investigation reports made publicly available.		

ITEM

NO. DESCRIPTION OF RECORDS

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CITATION

(1) ADAMS PDF files and TIFF files.

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

Permanent. Cut off electronic files at close of fiscal year in which report is issued. 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

(2) ADAMS document profiles created for the management, search, and retrieval of the PDF files and TIFF files.

Permanent. Cut off electronic files with related PDF files and TIFF files. Transfer to NARA according to regulations found in 36 CFR § 1228.188 when the PDF files and TIFF files are transferred. Destroy NRC copy 18 years after transferring record to NARA.

TBD

b. Copies of investigation case file documents from case files determined to be permanent.

(1) ADAMS PDF files and TIFF files.

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

Permanent. Cut off electronic files at close of fiscal year in which document is released to public. 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.

TBD

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		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.	
	(2) 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. Copies of investigation case file documents from case files determined not to be permanent.		
	(1) 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 in which document is released to public. Destroy 10 years after cutoff.	TBD
5.	<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		

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	prepare proposed and final rules, public comments, Committee to Review Generic Requirements (CRGR) minutes and recommendations, Advisory Committee on Reactor Safeguards comments, Commission papers, transcripts, indexes, and <i>Federal Register</i> Notices.		
a.	Official case files created by OIG.		
	(1) Paper records created before 04/01/2000.	Permanent. 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.	NC1-431-85-1 Item 1.a (NUREG-0910 NRCS 1-2.3.a)
	(2) Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Destroy paper documents 2 months after creation of ADAMS electronic record.	TBD
	(3) Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and ASCII files that remain with staff members and OCIO processing staff after creation of the ADAMS records. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and	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 received from outside the agency.		
(4)	<p>ADAMS PDF files and TIFF files.</p> <p>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.</p>	<p><u>Permanent</u>. Cut off electronic files when regulation is issued through notice in the <i>Federal Register</i>. Convert image files to paper, microform, magnetic tape, 3480 class tape cartridge, or any other medium and format that meets NARA regulations found 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.</p>	TBD
(5)	<p>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 8 years after transferring record to NARA.</p>	TBD

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ADAMS RECORDS SCHEDULES
OFFICE OF THE INSPECTOR GENERAL

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA-APPROVED CITATION</u>
1.	<p><u>Audit Case Files</u></p> <p>Case files for program evaluations that assist management in identifying, analyzing and resolving program and organizational performance/policy issues, studies of areas of specific concern, and internally generated study initiatives designed to achieve organizational improvement. Case files include survey questionnaires, notes, rough draft proposals, correspondence, and other working files used to prepare final recommendations and reports.</p>		
	a. Paper records created before 01/01/2000.	Cut off files when case is closed. 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,	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating.	TBD

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	e-mail, etc.) and electronic records received from outside the agency.		
	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 when case is closed. Destroy 10 years after cutoff.	TBD
2.	<u>Committee and Conference Records</u>		
	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 01/01/2000.	<u>Permanent</u> . Cut off when NRC involvement terminates. OClO 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 (NUREG-0910 NRCS 1-2.1.a.2),

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			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.	TBD
	(4) ADAMS PDF files and TIFF files.	<u>Permanent.</u> Cut off electronic files when NRC involvement terminates. Convert image files to paper, microform, magnetic tape, 3480 class tape cartridge, or any other medium 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 in which records will be	TBD

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		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.	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 01/01/2000.	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
	(3) Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating.	TBD

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	ASCII files that remain with staff members and OCIO processing staff after creation of the ADAMS records. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.		
	(4) ADAMS PDF files and their linked native application source files; ADAMS TIFF files and their linked ASCII files; ADAMS document profiles and document packages; and ADAMS digital signature and concurrence data.	Cut off electronic files 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 01/01/2000.	Destroy when 3 years old or earlier if no longer needed for reference.	Supersedes: NC1-431-81-5 Item 1.5.30.b.2 (NUREG-0910 NRCS 1-2.1.b.2
	(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.	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.	<u>General Program Correspondence Files (Subject Files)</u> Letters, memoranda, messages, studies, reports, forms, and other data documenting and/or implementing plans, policies, procedures, accomplishments, opinions, and decisions pertaining to Office of the Inspector General (OIG) program and staff activities.		

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a.	<u>Program Correspondence Files at the Office Director Level.</u>		
	<p>Files that document policy-making decisions or significant OIG program management functions that are signed by or addressed to the Inspector General and Deputy Inspector General. Excluded is program correspondence that documents routine transactions for which the record content is summarized or duplicated in higher level documents. (See item c. below.)</p>		
	(1) Paper records created before 01/01/2000.	<u>Permanent.</u> Cut off at close of fiscal year. Hold 2 years and retire to the Washington National Record Center through OCIO. OCIO will transfer to NARA when 20 years old.	NC1-431-81-5 Item 1.2.15.a (NUREG-0910 NRCS 1-2.2.a)
	(2) Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Destroy paper documents 2 months after creation of ADAMS electronic record.	TBD
	(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.	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 TIFF files.	<u>Permanent</u> . Cut off electronic files at close of fiscal year. Convert image files to paper, microform, magnetic tape, 3480 class tape cartridge, or any other medium 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 in which records will be transferred. Destroy NRC copy 18 years after transferring record to NARA.	TBD
	(5) ADAMS document profiles and ADAMS document packages created for the management, search, and retrieval of the PDF files and TIFF files, and ADAMS data related to digital signatures, and data that evidence final NRC management and staff concurrences in documents that are linked to and considered part of the official records.	<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.	TBD
	b. <u>Program Correspondence Files Created or Received Below the Office Director Level.</u>		
	Files that document policy making decisions, significant or		

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	<p>OIG program management functions and program operations that are signed by or addressed to OIG management and staff below the Inspector General and Deputy Inspector General 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.)</p>		
	<p>(1) Paper records created before 01/01/2000.</p>	<p>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.</p>	<p>NC1-431-81-5 Item 1.2.15.b (NUREG-0910 NRCS 1-2.2.b)</p>
	<p>(2) Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.</p>	<p>Destroy paper documents 2 months after creation of ADAMS electronic record.</p>	<p>TBD</p>
	<p>(3) Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and ASCII files that remain with staff members and OCIO processing staff after creation of the ADAMS records. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus, 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.</p>	<p>TBD</p>

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	(4) ADAMS PDF files and their linked native application source files; ADAMS TIFF files and their linked ASCII files; ADAMS document profiles and document packages; and ADAMS digital signature and concurrence data.	Cut off electronic files at close of fiscal year. Destroy 10 years after cutoff.	TBD
	c. <u>Routine Program Correspondence Files Created or Received at All Organizational Levels.</u>		
	Files documenting program transactions of a routine or recurring nature, the record content of which is summarized or duplicated in Item a. or b. above.		
	(1) Paper records created before 01/01/2000.	Destroy when 2 years old, or sooner if purpose has been served.	NC1-431-81-5 Item 1.2.15.c (NUREG-0910 NRCS 1-2.2.c)
	(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.	TBD

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	<p>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>(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 at close of fiscal year. Destroy 2 years after cutoff.</p>	TBD
4.	<p><u>Investigation Records Made Publicly Available</u></p>		
	<p>Copies of final investigation reports and other investigative records duplicating paper records from Office of the Inspector General (OIG) investigations of alleged fraud, waste, abuse, and irregularities and violations of laws and regulations that are made publicly available. The official investigation reports and case file records are maintained by the OIG in paper files.</p>		
	<p>a. Copies of final investigation reports made publicly available.</p>		
	<p>(1) ADAMS PDF files and TIFF files.</p>	<p><u>Permanent</u>. Cut off electronic files at close of fiscal year in which report is issued. Convert image files to paper, microform, magnetic tape, 3480 class tape cartridge, or any other medium</p>	TBD

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		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 in which records will be transferred. Destroy NRC copy 18 years after transferring record to NARA.	
	(2) ADAMS document profiles created for the management, search, and retrieval of the PDF files and TIFF files.	<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.	TBD
	b. Copies of investigation case file documents from case files determined to be permanent.		
	(1) ADAMS PDF files and TIFF files.	<u>Permanent</u> . Cut off electronic files at close of fiscal year in which document is released to public. Convert image files to paper, microform, magnetic tape, 3480 class tape cartridge, or any other medium 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 in which records will be transferred. Destroy NRC copy 18 years after transferring record to NARA.	TBD
	(2) ADAMS document profiles and ADAMS document	<u>Permanent</u> . Cut off electronic files with related PDF files and	TBD

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	<p>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>TIFF files. Transfer to NARA according to regulations found in 36 CFR § 1228.188 when the PDF files and TIFF files are transferred.</p>	-
	<p>c. Copies of investigation case file documents from case files determined not to be permanent.</p>		
	<p>(1) 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 at close of fiscal year in which document is released to public. Destroy 10 years after cutoff.</p>	TBD
5.	<p><u>Regulatory History Files for Proposed and Final Rulemaking</u></p>		
	<p>Case files documenting proposed and final rulemakings. Contents include interoffice correspondence, all source documents relied upon to prepare proposed and final rules, public comments, Committee to Review Generic Requirements (CRGR) minutes and recommendations, Advisory Committee on Reactor Safeguards comments, Commission papers, transcripts, indexes, and <i>Federal Register</i> Notices.</p>		

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a.	Official case files created by OIG.		
	(1) Paper records created before 01/01/2000.	<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.	NC1-431-85-1 Item 1.a (NUREG-0910 NRCS 1-2.3.a)
	(2) Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Destroy paper documents 2 months after creation of ADAMS electronic record.	TBD
	(3) Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and ASCII files that remain with staff members and OCIO processing staff after creation of the ADAMS records. Included are electronic records created internally using office automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating.	TBD
	(4) ADAMS PDF files and TIFF files.	<u>Permanent</u> . Cut off electronic files when regulation is issued through notice in the <i>Federal Register</i> . Convert image files to paper, microform, magnetic tape, 3480 class tape cartridge, or any other medium that meets NARA regulations found in	TBD

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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
in which 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.

TBD