

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

NI-431-99-2

DATE RECEIVED

12-24-98

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

1 FROM (Agency or establishment)

U.S. Nuclear Regulatory Commission

2. MAJOR SUBDIVISION

Office of Congressional Affairs

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

John Harris

5. TELEPHONE

301-415-5885

DATE

1-12-00

ARCHIVIST OF THE UNITED STATES

John W. Paul

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 18th 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

12/4/98

SIGNATURE OF AGENCY REPRESENTATIVE

Dennis J. Sullivan

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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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 Office of Congressional Affairs.</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 October 1, 1999, 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 bit-mapped image 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, NWMD, NWME

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 Congressional Affairs.</p>		

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ADAMS RECORDS SCHEDULES
OFFICE OF CONGRESSIONAL AFFAIRS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA APPROVED CITATION
1.	<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 sponsor agency.		
	(1) Paper records created before 01/01/2000.	<u>Permanent</u> . Cut off when NRC involvement terminates. OCIO will transfer to NARA 10 years after cutoff.	NC1-431-81-5 Item 1.5.30.a.1 (NUREG-0910 NRCS 1-2.1.a.1) Supersedes: NC1-431-81-5 Item 1.5.30.a.2 (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	Destroy after creation of ADAMS electronic record or	TBD

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	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.	when no longer needed for reference or updating, whichever is later.	
(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 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	<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

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	considered part of the official records.		
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 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	Cut off electronic files upon termination of committee. Destroy 3 years after cutoff.	TBD

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	profiles and document packages; and ADAMS digital signature and concurrence data.		
	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
	(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	Cut off electronic files upon	TBD

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA APPROVED CITATION
	source files; ADAMS TIFF files and their linked ASCII files; ADAMS document profiles and document packages; and ADAMS digital signature and concurrence data.	termination of committee. Destroy 3 years after cutoff.	
2.	<u>Congressional Correspondence Files</u>		
	Correspondence with individual congressmen, chairmen of congressional committees, and their staff relating to the activities and programs of the agency.		
	a. Paper records created before 01/01/2000.	Cut off file every 2 years. Retire to the NRC Archival Facility (AF) through OCIO 2 years after file break. Destroy when 10 years old.	NC1-431-81-5 Item 2.5.14 (NUREG-0910 NRCS 2-8.1)
	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., Word-Perfect, 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	Cut off electronic files at close of	TBD

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	files; ADAMS TIFF files and their linked ASCII files; ADAMS document profiles and document packages; and ADAMS digital signature and concurrence data.	fiscal year. Destroy 10 years after cutoff.	
3.	<p data-bbox="299 563 707 627"><u>Congressional Hearing Testimony and Transcript Files</u></p> <p data-bbox="299 663 745 1400">Testimony and transcript files located in the Office of Congressional Affairs that document NRC presentations before Congressional House and Senate Committees with respect to NRC's policies, programs, plans, budgets and activities that are made by the Chairman, the Commissioners, the Executive Director for Operations, the Chief Information Officer, the Chief Financial Officer, or other NRC representative, as appropriate. Files include correspondence, documentation, and significant background information created for pre-hearing meetings and briefings, Congressional transcripts and testimonies, and post-hearing correspondence documenting any related questions and responses. The files, reflecting the hearing subject and House or Senate Committee names, are arranged by hearing date.</p>	Cut off at the close of the fiscal year. Hold 2 years and return to the Washington National Records Center through OCIO. Destroy 20 years after cutoff.	TBD
	a. Paper records created before 01/01/2000.		

Withdrawn to be submitted on later date.
ATB 10/27/19

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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 20 years after cutoff.	TBD

*Withdrawn
JBE
10/27/99*

4. General Program Correspondence Files (Subject Files)

Letters, memoranda, messages, studies, reports, forms, and other data documenting and/or implementing plans, policies, procedures, accomplishments, opinions, and decisions pertaining to Office of Congressional Affairs (OCA) program and staff activities.

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a.	<u>Program Correspondence Files at the Office Director Level.</u>		
	Files that document policy-making decisions or significant OCA program management functions that are signed by or addressed to the OCA Director or Deputy Director. 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 01/01/2000.	Permanent. Cut off at close of fiscal year. Hold 2 years and retire to Washington National Records Center through OCIO. 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 automation tools (e.g., WordPerfect, Lotus, InForms, e-mail, etc.) and electronic records received from outside the agency.	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	TBD

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(4)	ADAMS PDF files and TIFF files.	<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
(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 OCA program management functions and program operations. They are signed by or addressed to OCA management and staff below the Office Director level. Excluded is program correspondence that documents routine transactions	

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA APPROVED CITATION
	for which the record content is summarized or duplicated in higher level documents. (See item c. below.)		
(1)	Paper records created prior to 01/01/2000.	Cut off at close of fiscal year. Hold 2 years and retire to Washington National Records 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 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

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA APPROVED CITATION
c.	<p><u>Routine Program Correspondence Files Created or Received at All Organizational Levels.</u></p> <p>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.</p>		
(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 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	Cut off electronic files at close of fiscal year. Destroy 2 years after cutoff.	TBD

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	files and their linked ASCII files; ADAMS document profiles and document packages; and ADAMS digital signature and concurrence data.		
5.	<u>Legislative Files</u>		
	Copies of proposed House and Senate bills relating to NRC operation and related correspondence.		
	a. Paper records created prior to 01/01/2000.	Destroy when legislation is passed or when no longer needed.	NC1-431-81-5 Item 2.5.16 (NUREG-0910 NRCS 2-8.3)
	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., Word-Perfect, 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	Cut off electronic files upon close of fiscal year. Destroy	TBD

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	files; ADAMS TIFF files and their linked ASCII files; ADAMS document profiles and document packages; and ADAMS digital signature and concurrence data.	5 years after cutoff.	
6.	<u>Senate and House Members Profile Files</u>		
	Files containing biographical information on members of the U.S. Congress.		
	a. Paper records created before 01/01/2000.	Cut off files upon close of fiscal year. Destroy 5 years after cutoff.	NC1-431-81-5 Item 2.5.15 (NUREG-0910 NRCS 2-84)
	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., Word-Perfect, 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;	Cut off electronic files upon close of fiscal year. Destroy 5 years after cutoff.	TBD

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA APPROVED CITATION
	ADAMS document profiles and document packages; and ADAMS digital signature and concurrence data.		