

# *U.S. NUCLEAR REGULATORY COMMISSION*

## ***DIRECTIVE TRANSMITTAL***

TN: DT-95-11

**To:** NRC Management Directives Custodians

**Subject:** Transmittal of Management Directive 3.53, "NRC Records Management Program"

**Purpose:** Directive and Handbook 3.53 are being revised and reprinted in their entirety. The following changes have been made:

Handbook Part IV, "Procedures for Managing Papers of Federal Officials and Presidential Appointees," has been completely revised and retitled as "Procedures for Managing Records and Papers of Commissioners." The revised Part IV now deals only with managing the records and papers of Commissioners. Procedures regarding disposition of personally held nonrecord materials by other NRC employees have been removed from Part IV and incorporated into Part II, Section (D)(13), "Disposition of Personally Held Nonrecord Materials."

Handbook Part IX, "Procedures for Creating, Maintaining, Using, and Disposing of Electronic Records," has been revised to incorporate new guidance from the National Archives and Records Administration on the use of optical disk systems and CD-ROM for the maintenance of permanent records.

The "Definitions" have been removed from the directive and incorporated as a "Glossary" at the end of the handbook.

NRC organizational references have been updated to reflect the current NRC organizational structure.

**Office of Origin:** Office of Information Resources Management

**Contact:** Wayne Davis, 415-5858

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# ***NRC Records Management Program***

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***Directive  
3.53***

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# U. S. Nuclear Regulatory Commission

Volume: 3 Information Management

Part: 2 Records Management

IRM

## NRC Records Management Program Directive 3.53

### Policy (3.53-01)

It is the policy of the U.S. Nuclear Regulatory Commission that all official records made or received by NRC in the course of its official business adhere to the documentation and production requirements, standards, and practices specified in this directive and handbook. All Federal agencies are required to comply with the regulations governing Federal records management issued by the National Archives and Records Administration (NARA) and the General Services Administration (GSA). Handbook 3.53 contains detailed procedures, standards, and guidelines for managing NRC's official records in accordance with the NARA and GSA regulations.

### Objectives (3.53-02)

- To ensure compliance with Federal statutes and regulations governing the management of records. (021)
- To foster effective and efficient filing and records management practices. (022)
- To ensure the preservation of NRC records that have continuing value for protection of the rights and interests of the Federal Government and individuals. (023)
- To ensure the preservation of records vital to the continuity of NRC activities during periods of national emergency. (024)
- To provide for the systematic cutoff and periodic retirement and destruction of official records under the "NRC Comprehensive Records Disposition Schedule" (CRDS), NUREG-0910. (025)

## **Organizational Responsibilities and Delegations of Authority** (3.53-03)

### **Director, Office of Information Resources Management (IRM)** (031)

By delegation from the Executive Director for Operations (EDO)—

- Develops and maintains procedures for the organization, maintenance, use, and disposition of all NRC official records. (a)
- Periodically surveys the maintenance, use, or disposition of NRC official records to ascertain that the procedures therefor are adequate and are being satisfactorily implemented. (b)
- Changes those procedures, as necessary, to comply with this directive and handbook. (c)
- Designates an official to serve as the NRC Records Officer. Handbook 3.53, Part I, outlines the duties and responsibilities of NRC Records Officers. (d)

### **Office Directors and Regional Administrators** (032)

- Implement the records management procedures and programs of this directive and handbook in their areas of responsibility. (a)
- Designate a staff member to serve as Records Liaison Officer with responsibility for coordinating record management matters with the NRC Records Officer. Handbook 3.53, Part I, outlines the duties and responsibilities of the Records Liaison Officer. (b)

### **Director, Division of Security (SEC), Office of Administration (ADM)** (033)

Administers the overall information security program, which includes the management of the security classification program and other programs for the protection of sensitive unclassified information.

**Director, Division of  
Contracts (DC), ADM  
(034)**

Ensures that contracts contain instructions for maintaining and disposing of contractor records (see Handbook 3.53, Part VI, for details).

**Applicability**  
(3.53-04)

This directive and handbook apply to and must be followed by all NRC employees, consultants, members of boards, and contractor personnel.

**Handbook**  
(3.53-05)

Detailed procedures and guides for maintaining and disposing of Commission files and records are contained in Handbook 3.53.

**References**  
(3.53-06)

Atomic Energy Act of 1954, as amended (42 U.S.C. 2011 et seq.).

Computer Security Act of 1987 (40 U.S.C. 7590).

Department of Energy/Nuclear Regulatory Commission  
Memorandum of Understanding, February 24, 1978.

“Electronic Records Management,” 36 CFR 1234.

Energy Reorganization Act of 1974, as amended (42 U.S.C. 5801 et seq.).

Executive Order 12356, “National Security Information,” dated April 6, 1982, its successors, and its implementing directives.

Federal Advisory Committee Act (5 U.S.C. App. I).

Federal Property Management Regulations, 41 CFR Subtitle C.

Federal Records Act (44 U.S.C. 3301).

Federal Rules of Evidence 803(6).

Freedom of Information Act (5 U.S.C. 552).

GSA Records Management Handbook, “Subject Filing,” 1981.

## **References**

(3.53-06) (continued)

“Management and Use of Information and Records,” 41 CFR Chapter 201, Subchapter B, and Parts 1 through 20.

National Archives and Records Administration (NARA) Bulletin 94-4, “Use of Compact Disc-Read Only Memory (CD-ROM) Medium to Transfer Records to the National Archives,” dated July 20, 1994.

NRC Management Directive 3.1, “Freedom of Information Act.”

— 3.2, “Privacy Act.”

— 3.8, “Unclassified Contractor and Grantee Publications in the NUREG Series.”

— 3.50, “Document Management.”

— 3.56, “Micrographics Management.”

— 3.57, “Correspondence Management.”

— 6.2, “Continuity of Government Programs.”

— 7.5, “Ethics Counseling.”

— 10.6, “Use of Consultants and Experts.”

— 10.12, “Member Appointments for Advisory Committees.”

— 11.7, “NRC Procedures for Placement and Monitoring of Work With the Department of Energy.”

— 12.2, “NRC Classified Information Security Program.”

— 12.3, “NRC Personnel Security Program.”

— 12.6, “NRC Sensitive Unclassified Information Security Program.”

— 13.1, “Personal Property Management.”

NUREG-0910, Revision 2, “NRC Comprehensive Records Disposition Schedule.”

NUREG/BR-0052, Revision 1, “Public Document Room File Classification System,” August 1986.

Privacy Act (5 U.S.C. 552a).

“Public Inspections, Exemptions, Requests for Withholding,” 10 CFR 2.790.

## **References**

(3.53-06) (continued)

“Records Management,” 36 CFR 1220.

“Retention Requirements for Contractors and Subcontractors Records,” 48 CFR 4.

Staff Requirements Memorandum, S. J. Chilk, Secretary to the Commissioners, 12/13/89 (COMJC-89-12), “Public Release of Staff Requirements Memoranda, Commissioners’ Votes, and SECY Papers.”



# ***NRC Records Management Program***

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## ***Handbook 3.53***

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# **Part I**

## **NRC Records Management Program**

### **Introduction (A)**

All Federal agencies are required to establish a records management program to ensure compliance with the regulations governing records management issued by the National Archives and Records Administration (NARA) and the General Services Administration (GSA). This part identifies the general requirements, duties, and responsibilities for implementing the NRC records management program in accordance with the NARA and GSA regulations. Part I also contains guidance to assist NRC employees in identifying official records and distinguishing between record and nonrecord materials.

### **General Requirements for Agency Records Management Programs (B)**

#### **Creation of Records (1)**

NARA regulations require the NRC to create and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency.

#### **Disposition of Records (2)**

NARA regulations require the NRC to maintain and preserve permanent records and to ensure that temporary records are promptly disposed of or retired when no longer needed. Effective techniques to accomplish these ends include the development of records disposition schedules, the transfer of records to the NRC Archival Facility, the conversion of the information to other media, and the prompt disposal of valueless records that have served their purpose. Disposition of any NRC records requires the approval of the Archivist of the United States.

## **General Requirements for Agency Records Management Programs (B) (continued)**

### **Liaison with NARA (3)**

NRC is required by NARA to assign responsibility for developing the records management program to one or more offices. NARA also requires the responsible office to submit the name, title, and telephone number of the official authorized by the head of the agency to approve records disposition schedules and to transfer records to the custody of the Office of Records Administration, National Archives, Washington, DC 20408. (a)

The Office of Information Resources Management (IRM), Information and Records Management Branch (IRMB), is responsible for developing and implementing the NRC records management program. The Chief, IRMB, is the official authorized to approve records disposition schedules and to transfer records to the National Archives. (b)

## **Recordkeeping Requirements (C)**

To provide for the adequate documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the NRC, records shall be created and maintained that are sufficient to—

- Document the persons, places, things, or matters dealt with by the NRC. (1)
- Facilitate action by NRC officials and their successors in office. (2)
- Make possible a proper scrutiny by the Congress or other duly authorized agencies of the Government. (3)
- Protect the financial, legal, and other rights of the Government and of persons directly affected by the Government's actions. (4)
- Document the formulation and execution of basic policies and decisions and the necessary actions taken, including all significant decisions and commitments reached orally (person to person, by telecommunications, or in conference). (5)
- Document important board, committee, or staff meetings. (6)

## **Duties and Responsibilities for Implementing the Records Management Program (D)**

### **The NRC Records Officer (1)**

By delegation from the Director, IRM, and as mandated by 36 CFR Part 1220—

- Plans and formulates files maintenance and records disposition policies, standards, systems, and procedures to meet the operating needs of NRC. (a)
- Coordinates the overall NRC files maintenance and records disposition program and evaluates program effectiveness. (b)
- Provides records management guidance and assistance to all organizational levels. (c)
- Surveys the records management program in all offices to ensure compliance with established policies and procedures. (d)
- Reviews and evaluates the utilization of filing equipment and makes decisions on filing equipment allocations. (e)
- Serves as liaison with NARA, GSA, the General Accounting Office (GAO), the Office of Management and Budget (OMB), and other agencies on matters relating to records management. (f)
- Issues a Comprehensive Records Disposition Schedule (CRDS) (NUREG-0910) to appropriate staff, as prescribed by NARA, to ensure the proper disposition of all NRC records. (g)
- Coordinates the NRC Vital Records Program as described in Part V of this handbook. (h)
- Grants or denies exceptions to or deviations from the records management procedures prescribed in Handbook 3.53. Requests for exceptions or deviations must be documented in writing to specify the need for the exception and the benefits to be derived from the change. The problem will be referred to NARA when substantive issues cannot be resolved internally. (i)

## **Duties and Responsibilities for Implementing the Records Management Program (D) (continued)**

### **Records Liaison Officers (RLOs) (2)**

By delegation from office directors and regional administrators—

- Administer records management policies, procedures, and programs through designated file custodians to ensure that NUREG-0910 is being followed and that the agency files maintenance system is being implemented within their offices. (a)
- Review and approve files maintenance and disposition plans (NRC Forms 306 and 306A; Exhibits 1 and 2) generated for each official file station to ensure accuracy, adequacy, completeness, and compliance with NUREG-0910 and records management policies. (b)
- Request the return and withdrawal of their office's records to and from the NRC Archival Facility and the Washington National Records Center and maintain adequate documentation of all such activity. (c)
- Maintain file maintenance and disposition plans for all official file stations within their office and review plans annually to ensure the accountability of all files and the citation of appropriate disposition authorities. (d)
- Inform the NRC Records Officer of records to be transferred to other offices as a result of realignment of functions or reorganizations within 30 days after becoming aware of the proposed reorganization. (e)
- Review records transfer forms (NRC Forms 35 and 35A; Exhibits 3 and 4) for completeness and to ensure that the appropriate disposition authority is cited. (f)
- Maintain records transfer forms for those records retired from their respective offices. (g)
- Process requests for certifying copies of official records in accordance with Part II, Section (C)(6), of this handbook. (h)
- Process requisitions for filing equipment (NRC Form 30; Exhibit 5) in accordance with Part II, Section (C)(8), of this handbook. (i)

## **Duties and Responsibilities for Implementing the Records Management Program (D) (continued)**

### **Records Liaison Officers (RLOs) (2) (continued)**

- Coordinate their office's annual report of records holdings as described in Part II, Section (D)(11), of this handbook. (j)
- Coordinate their office's vital records plan as described in Part V of this handbook. (k)

### **File Custodians (3)**

File custodians are identified by management (office, division, branch, etc.) as the individuals responsible for maintaining the files of an official file station. File custodians—

- Ensure that official files under their purview are managed in accordance with the policies and procedures contained in this directive and handbook and NUREG-0910. (a)
- Obtain, upon termination or transfer of responsibilities, an audit of the files under their purview from the respective RLO. (b)
- Provide reports and assistance to the respective RLO and/or NRC Records Officer, as necessary. (c)

### **NRC Employees and Contractors (4)**

NRC employees and contractors—

- Must preserve official records that they create, receive, or access as prescribed by the policies and procedures set forth in this directive and handbook and by applicable statutes and regulations. (a)
- Are legally responsible for informing the NRC Records Officer of any actual or threatened unlawful destruction or removal of official files or records. (b)
- Are responsible for safeguarding classified or sensitive unclassified information contained in official NRC records in accordance with the provisions of Management Directive (MD) 12.2, "NRC Classified Information Security Program" and MD 12.6, "NRC Sensitive Unclassified Information Security Program." (c)

## **Identifying and Distinguishing Between Record and Nonrecord Materials (E)**

### **Defining Federal Records (1)**

Federal records are statutorily defined in 44 U.S.C. 3301 as follows: (a)

“All books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the government or because of the informational value of the data in them.”

Several key terms, phrases, and concepts in the statutory definition of records are defined in 36 CFR 1222.12, as follows: (b)

- **Documentary materials** is a collective term for records, nonrecord materials, and personal papers that refers to all media containing recorded information, regardless of the nature of the media or the method(s) or circumstance(s) of recording. (i)
- **Regardless of physical form or characteristics** means that the medium may be paper, film, disk, or other physical type or form; and that the method of recording may be manual, mechanical, photographic, electronic, or any other combination of these or other technologies. (ii)
- **Made** means the act of creating and recording information by agency personnel in the course of their official duties, regardless of the method(s) or the medium involved. The act of recording is generally identifiable by the circulation of the information to others or by placing it in files accessible to others. (iii)
- **Received** means the acceptance or collection of documentary materials by agency personnel in the course of their official duties regardless of the origin of these materials (for example, other units of the agency, private citizens, public officials, other agencies, contractors, Government grantees) and regardless of how these

## Identifying and Distinguishing Between Record and Nonrecord Materials (E) (continued)

### Defining Federal Records (1) (continued)

materials are transmitted (in person or by messenger, mail, electronic means, or by any other method). In this context, the term does not refer to misdirected materials. The term may or may not refer to loaned or seized materials, depending on the conditions under which such materials came into agency custody or were used by the agency. Advice of legal counsel should be sought regarding the “record” status of loaned or seized materials. (iv)

- **Preserved** means the filing, storing, or any other method of systematically maintaining documentary materials by the agency. This term covers materials not only actually filed or otherwise systematically maintained but also those materials temporarily removed from existing filing systems. (v)
- **Appropriate for preservation** means made or received documentary materials that in the judgment of the agency should be filed, stored, or otherwise systematically maintained by an agency because they are evidence of agency activities or contain unique information, even though the materials may not be covered by the agency’s current filing or maintenance procedures. (vi)

### Identifying Federal Records (2)

To ensure that complete and accurate records are made and retained in the NRC, it is essential that NRC employees distinguish between record and nonrecord materials by the appropriate application of the statutory definition of records to NRC documentary materials. The following guidelines issued by NARA in 36 CFR 1222.34 should be applied to all documentary materials to determine their record or nonrecord status.

- **Record status**—Documentary materials are records when they meet both of the following conditions: (a)
  - They are made or received by an agency of the United States Government under Federal law or in connection with the transaction of agency business. (i)

## **Identifying and Distinguishing Between Record and Nonrecord Materials (E) (continued)**

### **Identifying Federal Records (2) (continued)**

- They are preserved or are appropriate for preservation as evidence of agency organization and activities or because of the value of the information they contain. (ii)
- **Working files and similar materials**—Working files, such as preliminary drafts and rough notes and other similar materials, will be maintained for purposes of adequate and proper documentation if—(b)
  - They were circulated or made available to employees, other than the creator, for official purposes such as approval, comment, action, recommendation, followup, or to communicate with agency staff about agency business. (i)
  - They contain unique information, such as substantive annotations or comments included therein, that adds to a proper understanding of the agency's formulation and execution of basic policies, decisions, actions, or responsibilities. (ii)
- **Nonrecord materials**—The following nonrecord materials are Government-owned documentary materials that do not meet the conditions of records status (see 36 CFR 1222.34(b)) or that are specifically excluded from records status by statute (see 44 U.S.C. 3301). (c)
  - Library and museum material (but only if such material is made or acquired and preserved solely for reference or exhibition purposes). (i)
  - Extra copies of documents (but only if the sole reason such copies are preserved is for convenience of reference). (ii)
  - Stocks of publications and processed documents. (Each agency shall create and maintain serial or record sets of its publications and processed documents as evidence of agency activities and for the information they contain, including annual reports, brochures, pamphlets, books, handbooks, posters, and maps.) (iii)



## **Part II**

# **Files Maintenance and Records Disposition Procedures**

### **Introduction (A)**

This part establishes standardized procedures for the organization, maintenance, and disposition of records of the U.S. Nuclear Regulatory Commission (NRC). Records of all organizational components of the NRC are subject to the procedures outlined in this part. The purpose of these procedures is to promote efficiency and economy in administering official NRC files.

### **Planning and Arranging Files (B)**

To provide for the adequate documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the NRC, each office must maintain official file stations and select the most effective and efficient method of arranging the files within each file station.

#### **Official File Stations (1)**

NRC official file stations, managed by file custodians, form a network of recordkeeping locations within NRC to—

- Provide technical control and supervision of official records (a)
- Facilitate coordination between and among file stations (b)
- Ensure uniformity in filing and reference procedures (c)

#### **Centralization of Selected NRC Files (2)**

Because of a common interest in certain agency files by several organizational components, files may be centralized after the expiration of specific events.

## **Planning and Arranging Files (B) (continued)**

### **Basic Groups of NRC Files (3)**

The files collection of an official file station usually consists of more than one basic group of records. A file group consists of a collection of documents that have similar characteristics and that should be kept apart from other groups of records in the office. This separation of records into readily discernible groups assists in filing and finding documents and in disposing of records with different retention periods. The file groups described below are generally maintained separately:

- **General (Subject) Correspondence Files.** These files, often referred to as the “general file” or the “subject correspondence file,” consist of originals or copies of letters, memoranda, telegrams, reports, and other material. Each official file station usually has a separate correspondence file. Because this file invariably involves a variety of subjects, it can best be identified and used when arranged by subject. (a)
- **Transitory Correspondence Files.** These files consist of correspondence and other material of short-term interest that should not be filed in subject correspondence files. The materials involved relate to routine transactions or do not contain information of continuing reference value. The material consists of transmittal letters or forms, requests for information or publications, communications correcting reports or records, or other documents that do not require action by the receiving office. The recognition and separate maintenance of transitory material is important. Transitory material that has served its purpose is destroyed. Transitory correspondence that is temporarily needed for reference is usually filed by date so that the material may be easily destroyed after a short retention period, usually no more than 90 days. (b)
- **Case, Project, and Task Files.** These files contain material relating to a specific action, project, person, company or organization, or issue. The material in these files may cover one or many subjects by name or number, a practice that helps to distinguish this material from general correspondence that is filed by subject, as described in Section (3)(a) above. These files document a transaction from beginning to end. The contents of all these files are standardized by each office or division accumulating them. Some of the major NRC case, project, and task files include—(c)

## Planning and Arranging Files (B) (continued)

### Basic Groups of NRC Files (3) (continued)

- Docket files\* (i)
- Inspection case files (ii)
- Contracts or purchase orders\*\* (iii)
- Official personnel folders (iv)
- Research project files\*\*\* (v)
- General technical issues files (vi)
- Standards development task files (vii)
- Systematic evaluation program task files (viii)
- Freedom of Information Act and Privacy Act files (ix)
- Rulemaking action files (x)
- Fiscal accounting files (xi)
- **Case Working Documents.** Short-lived correspondence and working papers accumulated in connection with specific case files include background and working materials, such as reference materials and data obtained for the case or project, data analyses and summaries, and drafts and other preliminary papers leading to final results or findings. The most common types of working documents are routine requests for case reports or data, routine correspondence concerning the administration of a case or project, extra copies of documents or reference materials, and so forth. These working papers should be segregated from the important case documents for ease of disposal and to prevent clutter among more important papers. They may be filed in the same folder but kept separate by fastening them on the side opposite the essential papers or by filing them in separate folders placed one behind the other in the file drawer. (d)
- **Technical Reference Files.** These files, sometimes called "reference material" or "reference publications," consist of

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\*NRC Docket 50 files are arranged in accordance with Part VIII of this handbook, where applicable.

\*\*Documents related to contracts or purchase orders are arranged in accordance with Part VI of this handbook.

\*\*\*Documents related to work performed under the Department of Energy/Nuclear Regulatory Commission (DOE/NRC) Memorandum of Understanding are arranged in accordance with Part VII of this handbook.

## **Planning and Arranging Files (B) (continued)**

### **Basic Groups of NRC Files (3) (continued)**

printed or processed material that is nonrecord but that has a direct relationship to the work of the office and is needed for future reference. It includes materials such as technical reports, periodicals, catalogs, handbooks, pamphlets, internal instructional and informational manuals, and so forth. Unless the volume is very small, technical reference materials should always be maintained separately from correspondence files. Mixing correspondence files and technical reference papers hampers disposition of both types of material and overloads the correspondence files. (e)

- **Convenience File.** This file contains the following extra copies of records or publications maintained for ease of access and reference. (f)
  - **Reading File.** This file contains extra copies of documents arranged in chronological order. This file is sometimes known as a “chronological file” or a “day file.” (i)
  - **Suspense File.** Also known as a “tickler file,” a “pending file,” or a “followup file,” this file consists of copies of correspondence or other documents that require action or attention on subsequent dates. (ii)
  - **Alphabetical Subject Index File.** This file consists of extra copies of correspondence or cross-reference sheets arranged alphabetically by subject or by the organizations to whom the correspondence is addressed or to whom it concerns. This file provides an additional source of reference to the subject file and is useful when papers are requested by subject or organization. The alphabetical subject index file is not practical unless the file is large. (iii)
  - **Working File.** This file contains documents such as rough notes, calculations, or drafts assembled or created and used in the preparation or analysis of other documents. (iv)
- **Nonstandard Size Files.** These records are kept in a separate group because of size or physical characteristics and include films, tapes, computer printouts, photographs, and so forth. (g)

### **Benefits of Separating Files Into Basic Groups (4)**

The benefits derived from separating files into the basic groups are numerous and discount most arguments against separate

## **Planning and Arranging Files (B) (continued)**

### **Benefits of Separating Files Into Basic Groups (4) (continued)**

maintenance. Breaking a file collection down into separate groups facilitates the following:

- **Finding records by reducing the area of search.** The recordkeeper need not look through a mass of unrelated material to find the desired document. He or she will not be confused by the variety of different filing arrangements often encountered when the basic types are combined in one file. (a)
- **Disposing of records by keeping folders with different retention periods separated.** Essential documents are segregated from those of only temporary value, and official records are not intermingled with nonrecord material. Separation of files into the basic groups permits the retirement or destruction of records in blocks because all papers within any one group have the same retention period. (b)

### **Basic Filing Arrangements (5)**

Once the basic file groups have been identified and separated within a files collection, the best method of arranging each type of file is determined by the recordkeeper. The arrangement should permit ease of filing and finding and make the use of special indexing systems unnecessary. Frequently, filing procedures for a series of records, for example, official personnel files, are provided in the prescribing directive. This handbook prescribes the arrangement of official general correspondence files and also suggests the name or number arrangement of selected agency case file series. When records are accumulated for which specific filing instructions are not prescribed, one of the arrangement patterns described in this paragraph should be selected. Within the basic arrangement selected for the group, one or more additional arrangements can be used to further break down or subdivide the records. For example, records geographically arranged may be further arranged by organization; records filed by subject can be further arranged chronologically. Five basic filing arrangements are described as follows: (a)

- **Numerical Arrangement.** A numerical system is used to arrange records identified and referred to by number, using the number as the filing code, such as docket files, contracts, purchase orders, and so forth. Numbers are not to be assigned to documents for the sole

## **Planning and Arranging Files (B) (continued)**

### **Basic Filing Arrangements (5) (continued)**

purpose of filing because this practice requires the establishment of indexes to locate the documents. (i)

- **Chronological Arrangement.** Documents can be filed according to date when the date is the primary reference. This is the most useful method for keeping documents in small, manageable groups, usually by year, month, and day. A chronological arrangement is frequently used in conjunction with other arrangements. For example, transitory, reading, and suspense files are usually arranged chronologically. (ii)
- **Geographical Arrangement.** Documents can be filed by geographical location, for example, a foreign country, when the geographical location is the primary reference. These files are arranged alphabetically, first by the name of the main geographical division, for example, a country, then by the next most important subdivision required for reference, for example, a State. (iii)
- **Organizational Arrangement.** Documents can be filed alphabetically according to organization when the name of a pertinent organization is the primary reference. (iv)
- **Subject Arrangement.** Documents can be filed alphabetically by subject when the subject is the primary reference. (v)

When developing a file arrangement, if information about an individual is retrieved by the person's name or other personal identifier, a Privacy Act System of Records may have been created that requires formal registration, control, and information protection measures. Refer to NRC Management Directive (MD) 3.2, "Privacy Act," for information about Privacy Act Systems of Records. (b)

### **Developing a Subject File System (6)**

An office must select the most effective and efficient method for filing its records to ensure their appropriate retention and retrievability. To facilitate this process, each office is responsible for developing a subject file system that conforms to the guidance in this handbook. Two separate subject file plans are usually required in order to separate the different series of records: an Administrative Subject File System and a Programmatic Subject File System. Arranging subject correspondence chronologically is inappropriate when it causes inadequate documentation by separating the incoming document

## Planning and Arranging Files (B) (continued)

### Developing a Subject File System (6) (continued)

from the response, or by separating documents that have a bearing on the current activity described in the correspondence.

- **Subject File Format.** The structure for both administrative and programmatic subject file systems is hierarchical so that correspondence with related subjects is filed together. The subject file is developed by selecting the primary categories for each system and supporting these with secondary and tertiary categories when the volume of material warrants. Primary categories for administrative material can be selected from the major administrative activities required to support the office; for example, General Administrative (ADM), Budget (BUD), Freedom of Information Act and Privacy Act (FOIA/PA), Personnel (PER), Procurement and Contracting (PRC), Records Management (REC), Security (SEC), Space and Equipment (S&E), Training (TRN), Travel (TRV), and so forth. Secondary and tertiary administrative subject categories are added to these categories as appropriate. Primary categories for programmatic material are selected from the office's organization, functions, responsibilities, and major programs. Secondary and tertiary subject categories are added to these primary categories as appropriate. (a)
- **Alphanumeric Arrangement of Subjects.** The basic arrangement for a subject file is the alphabetical arrangement of primary categories. The secondary and tertiary categories are then arranged alphabetically within the broader categories. This format is easily revised to reflect additions and deletions of subject categories as office requirements change. An alphanumeric numbering system is used to code documents and label folders. Administrative subjects are all numbered with an "ADM" prefix, followed by a three-letter abbreviation for the primary category. Each secondary category within the primary categories is numbered 1 through however many secondary subjects there are. Tertiary categories within the secondary categories are numbered 1 through however many tertiary subjects there are. Programmatic subjects are numbered similarly. The organizational unit abbreviation, however, is used as the prefix, followed by the three-letter abbreviation for each primary category. (b)
- **Subject File Labels.** Labels should show the file code, subject, and date of the material in the file. Labeling in this manner ensures that

## **Planning and Arranging Files (B) (continued)**

### **Developing a Subject File System (6) (continued)**

folders are identified easily and can be returned to their proper file location quickly. The following examples of file codes for administrative and programmatic categories are provided to illustrate—(c)

– **Administrative Subject Format—(i)**

ADM BUD 2 BUDGET ESTIMATES AND SUBMITTALS  
FY 1994

– **Programmatic Subject Format—(ii)**

RES/PRAB 2 ACCIDENT EVALUATION  
FY 1994

### **“Files Maintenance and Disposition Plan” (NRC Form 306) (7)**

Each file custodian prepares a “Files Maintenance and Disposition Plan” (NRC Form 306; Exhibit 1) and, if necessary, “Files Maintenance and Disposition Plan (Continuation)” (NRC Form 306A; Exhibit 2), for all records under their purview. This plan identifies all records for which an office has responsibility. Exhibit 1 illustrates a typical files plan and may be used as guidance.

- **Preparation.** Prepare NRC Form 306 in triplicate. Use NRC Form 306A as a continuation sheet, if necessary. (a)
- **Distribution.** The file custodian forwards the original and two copies of the files plan to the appropriate Records Liaison Officer (RLO) for review and approval. (b)
- **Review and Approval.** The RLO reviews the files plan for accuracy, adequacy, completeness, evidence of any unnecessary or duplicate files, and so forth, and approves the plan. After signing the plan, the RLO keeps one copy, sends one copy to the NRC Records Officer, and returns the original to the file custodian. (c)
- **Updating the Files Plan.** The “Files Maintenance and Disposition Plan” is reviewed annually and amended, as appropriate, to ensure that all files are accounted for and that cited disposition authorities are accurate. A new plan is prepared when the old one is substantially changed or further corrections or additions can be made. Revised plans are prepared in the same manner as the original plan. (d)



## Files Maintenance Procedures (C)

### Avoidance of Unnecessary Filing (1)

Filing unnecessary papers is a waste of staff resources and storage equipment. The following are ways to avoid unnecessary filing:

- Limit the creation of formal communications for routine matters. A note, a telephone call, or a routing slip may be substituted, or a reply may be made directly on the incoming communication. (a)
- Limit the number of copies prepared to those specifically required or requested. (b)
- Eliminate copies of routine communications that require no record. (c)
- Limit the number of technical reference documents requested and file only those that will be of significant reference value. (d)

### Categorizing Documents for Filing (2)

**Subject File Documents.** Categorizing subject correspondence material is more complex and distinctly different from categorizing other types of documents. The General Services Administration (GSA) Records Management Handbook, "Subject Filing," explains the classification of documents for administrative subject files and may be used as a reference guide for categorizing administrative subject correspondence. Contact the Information and Records Management Branch (IRMB), Office of Information Resources Management (IRM), to obtain a copy of the handbook. Documents must be read and analyzed, and then arranged on the basis of their informational content. How quickly a particular document can be located after it has been filed depends largely on how carefully it has been categorized before filing. The basic steps in categorizing subject material are as follows: (a)

- Read and analyze the document to determine its major subject. The subject line above the body of the correspondence is often helpful in categorizing but should not be relied upon too heavily. It may be vague, misleading, or even remote from the true subject of the correspondence. (i)
- Select the proper file designation from the office subject file outline, the appropriate primary subject category, and the appropriate subdivision of the primary subject. If no subdivision is provided, use the primary subject itself as the file designation.

## **Files Maintenance Procedures (C) (continued)**

### **Categorizing Documents for Filing (2) (continued)**

When a sufficient number of documents accumulate under a subdivision that was not originally selected as a subject topic, add the new topic to the file outline and create a folder to accommodate these papers. (ii)

- Write the subject-numeric file code in the upper right corner of the file copy. (iii)
- Lightly underscore the references when they refer to papers already on file to emphasize this fact. Consolidate earlier material with later correspondence on the same subject. (iv)

**Case File Documents.** Case filing is the easiest and fastest method of filing when the case identification is prominently placed on the face of the material to be filed. (b)

- **Preparation of Case File Correspondence.** Employees who prepare correspondence should place the case identification in the subject line of the letter. (i)
- **Filing of Case File Documents—Use of the Identifying Name or Number for Categorizing and Coding Case File Documents.** In most instances, the case identification appears somewhere on the paper and need only be underlined or circled. If the case identification is not shown on the paper, determine the proper category and write the appropriate file code in the upper right corner. (ii)

**Temporary Documents.** The item number from NRC Form 306 (Column A) (Exhibit 1) is usually adequate to categorize papers to be filed in the "Transitory" file, the office administrative files, suspense files, and so forth. Some recordkeepers may prefer to use an abbreviated symbol, such as "T" for transitory, "S" for suspense, and so forth, to classify these papers. (c)

### **Cross-References (3)**

A cross-reference is an additional file identification. If a document being categorized involves more than one subject or case transaction and there is a possibility it might be asked for by either, a cross-reference should be prepared as a finding aid.

## Files Maintenance Procedures (C) (continued)

### Cross-References (3) (continued)

- **Avoid Unnecessary Cross-References.** Avoid making and filing unnecessary cross-reference forms as they take up valuable space and time. (a)
- **Cross-Referencing Relocated Material.** A cross-reference is also used to indicate that a record has been moved from one place in the file to another. For example, a piece of correspondence may be taken from a cutoff or closed file for enclosure with a letter in the current file. The cross-reference form, Optional Form 21, may be used for this purpose. (See Exhibit 6.) (b)

### Filing Classified and Sensitive Unclassified Records (4)

NRC and NRC contractor offices shall comply with the applicable security requirements for using, transmitting, storing, or disposing of classified and sensitive unclassified documents. (See MDs 12.2, "NRC Classified Information Security Program," 12.3, "NRC Personnel Security Program," and 12.6, "NRC Sensitive Unclassified Information Security Program," for specific standards, procedures, and requirements for the protection of classified and sensitive unclassified documents.) The same general filing procedures used for nonsensitive records are used for filing classified and sensitive unclassified documents. However, the following safeguards apply:

- If classified and sensitive unclassified documents are filed separately from nonsensitive documents, place a nonsensitive cross-reference form in the nonsensitive subject or case file folder to indicate that the classified or sensitive unclassified documents are filed in security containers. Do not reveal the content of the classified or sensitive unclassified documents on the cross-reference form. (a)
- If an entire folder is kept in security containers, use a charge-out card. (b)

### Charging Out Material From the Files (5)

When records are removed from the file and forwarded to an individual or an office, a record of this loan is made. A file charge-out record, such as NRC Form 22 (Exhibit 7), is filled out and put in the folder or file drawer in place of the withdrawn material, with the

## **Files Maintenance Procedures (C) (continued)**

### **Charging Out Material From the Files (5) (continued)**

“OUT” portion clearly visible. The file custodian should review the file charge-outs periodically and request the return of files that have been charged out more than 6 months. Proper and consistent use of this form eliminates much wasted effort in searching for documents.

### **Procedures for Certifying Copies of Official Records (6)**

**Definition and Purpose.** Certification is the process of confirming that a document is a true and correct copy of an original record maintained by the NRC. NRC certifies copies of records when requested to do so by a member of the public. (a)

**Certification Procedures.** Certification procedures are as follows: (b)

- The office RLO with custody of the official record will obtain the record to be certified from the appropriate file custodian. (i)
- The RLO will complete Part 1 of NRC Form 513, “Certification of Copy of Official Record” (Exhibit 8), and sign the form to certify that each document listed is from the official records of the office and is maintained in the regular course of business. (ii)
- The RLO will forward the certification package containing the NRC Form 513, the document(s) to be certified, and the official record(s) to the Secretary of the Commission. (iii)
- Upon verifying that the document is a true and correct copy of the official record, the Secretary or the Assistant Secretary of the Commission will sign and date Part 2 of NRC Form 513 and affix the official seal of the Commission to it, thereby certifying the document. (iv)
- Upon certification, the Office of the Secretary of the Commission (SECY) will reproduce the NRC Form 513 and the certified document(s) and file the copies in the permanent program correspondence subject files maintained by SECY. The certification package will then be returned to the RLO. (v)
- Upon receipt of the completed certification package, the RLO will return the official record to the file custodian and forward a copy of the NRC Form 513 to the NRC Records Officer. The RLO will forward the completed certified copy(ies) to the requester after

## **Files Maintenance Procedures (C) (continued)**

### **Procedures for Certifying Copies of Official Records (6) (continued)**

ensuring that the record has been reviewed to determine if it contains any information that should be withheld pursuant to the Freedom of Information Act or the Privacy Act. (vi)

### **Filing Equipment and Supplies (7)**

It is NRC's policy to use standard filing equipment and supplies to the maximum extent possible. Standardization promotes efficient and simplified file operations and enhanced file interchangeability, reduced cost through quantity purchasing, simplified stocking, and uniform appearance. All file cabinets, microfiche cabinets, bookcases, safes, and any other equipment used for storing records and special types of folders must be approved by the NRC Records Officer before it is purchased or exchanged. (See MD 13.1, "Personal Property Management," Part V.)

### **Requirements for Requisitioning Filing Equipment (8)**

Offices request filing equipment by submitting a requisition (NRC Form 30; Exhibit 5) to the Property Management Branch (PMB), Division of Facilities and Property Management (DFPM), Office of Administration (ADM). In an effort to employ sound records management practices and to ensure the efficient use of space and equipment, NRC policy requires that requisitions for filing equipment be adequately justified and submitted only after specific prerequisites have been met. IRMB/IRM reviews and approves requests based upon these policies. (a)

RLOs are required to review requisitions for filing equipment that originate in their respective offices and to concur on the requisitions to indicate approval of the need for the equipment before submitting the requisitions to the PPGB. Before approving a request for filing equipment, the reference checklist contained in this section must be used to determine if the request meets the requirements of this directive and handbook and MD 13.1. (b)

RLOs are to coordinate with the requester and IRMB, as appropriate, alternative ways of meeting the requester's needs, such as retiring the material to IRMB or destroying excess nonrecord material. (c)

Requisitions that do not meet the requirements described in this section or that do not support sound records management practices will be disapproved and returned to the requester. (d)

## **Files Maintenance Procedures (C) (continued)**

### **Requirements for Requisitioning Filing Equipment (8) (continued)**

The following requirements pertain to each request for filing equipment: (e)

- **Prerequisites for Requisitioning Filing Equipment (i)**

Requisitions for filing equipment are to be submitted only if the measures prescribed herein have been followed but failed to produce the needed file space.

- Dispose of all records that have been authorized for disposal. (a)
- Transfer to IRMB those inactive records that are not needed in support of daily business but are not yet eligible for disposal. (b)
- Periodically screen nonrecord and reference material, such as reference copies of docket submissions, publications, and working files, and dispose of material that is no longer needed. (c)
- Store office supplies in supply cabinets. (d)
- Use letter-size filing cabinets instead of legal-size cabinets when possible. (e)
- Use five-drawer filing cabinets when they are available in lieu of four-drawer cabinets. (f)
- Depersonalize equipment. Filing equipment should be physically arranged so that all office staff members may have access to it. (g)

- **Justification (ii)**

Requisitions for equipment must include a justification that describes the need for the equipment and the nature, volume, and requirements of the material to be stored.

## Files Maintenance Procedures (C) (continued)

### Requirements for Requisitioning Filing Equipment (8) (continued)

- **Cost/Benefit Statement for Specialized Filing Equipment (iii)**

Requisitions for specialized equipment must include a statement to justify why only the equipment requested will meet the user's needs and must give the estimated annual savings anticipated, amortizing the cost of the equipment over 3 years. Factors to be considered include reduced manpower costs and the impact of the equipment on production and space.

- **Certification (iv)**

In addition to these requirements, all requisitions submitted for filing equipment must contain the following certification, signed by the office or division director, or a designee:

“The measures prescribed in NRC Handbook 13.1, “Personal Property Management,” have been taken but have failed to produce the needed file space.”

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(Signed) Office or Division Director or Designee

Approval or disapproval of an equipment request will be based on the extent to which the above four requirements are satisfied. RLOs are to sign in block 2 of the requisition (NRC Form 30; Exhibit 5) when all requirements have been met and it is agreed that the equipment is needed. IRMB will review and also sign in block 2 if the request is approved. Requests will be disapproved if submitted with inadequate justification or lack of certification and will be returned to the office RLO with an NRC Form 134, “Filing Equipment Request Analysis” (Exhibit 9). (f)

Requests will generally be disapproved when excessive inactive reference materials are being accumulated, when other sources of the information are readily available through the Nuclear Documents System (NUDOCS) or the NRC File Center, or when offices retain material beyond the authorized retention period. (g)

## **Records Disposition Objectives and Procedures (D)**

### **Records Disposition Objectives (1)**

Three important objectives of a records disposition program are to—

- Preserve records of continuing value (a)
- Destroy records of temporary value as soon as they have served their purpose (b)
- Remove noncurrent records from office space and filing equipment to less expensive storage facilities, thereby improving the use of files and reducing maintenance costs (c)

### **Records Disposition Definitions (2)**

Disposition includes the retirement, transfer, or destruction of records.

- **Retirement.** Records are considered “retired” when they are sent to the NRC Archival Facility (AF) and the National Archives and Records Administration (NARA), Washington National Records Center (WNRC), for storage, servicing, and ultimate destruction or retention. (a)
- **Transfer.** Transfer of records refers to a change of custody of records from one organization or agency to another. Records may be transferred to another office as a result of the realignment of functions or the reorganization of NRC. The RLO is to inform the NRC Records Officer within 30 days of any transfer of records that results from realignment of functions or reorganizations. No records are retired to a records center without prior approval of the NRC Records Officer. Transfers of records to the National Archives or to another office or agency must also be approved by the NRC Records Officer. (b)
- **Destruction.** The destruction of records includes the physical destruction of the record material itself or the removal of the informational content. Records authorized for destruction by NUREG-0910 will be—(c)
  - Disposed of through the NRC paper recycling program whenever possible. Contact ADM for information on materials appropriate for recycling (i)



## **Records Disposition Objectives and Procedures (D) (continued)**

### **Records Disposition Definitions (2) (continued)**

- Placed in wastebaskets when the quantity is small and the records are unclassified, nonsensitive, and inappropriate for recycling (ii)
- Destroyed by pulping or burning if, in the opinion of the NRC Records Officer, this action is necessary to avoid disclosure of information that might be prejudicial to the Government, the public, or to private interests (iii)
- Erased, if appropriate, when the record consists of magnetic tape or a comparable medium that can be reused (iv)
- Disposed of in accordance with MD 12.2, "NRC Classified Information Security Program," and MD 12.6, "NRC Sensitive Unclassified Information Security Program," when the records are classified or sensitive unclassified (v)
- **Documentation of Destruction.** Within 10 calendar days of document disposal, the staff member or file custodian submits one copy of NRC Form 355, "Report of Records/Nonrecords Disposal" (Exhibit 10), to the RLO. This information is used by the RLO in compiling the office's Annual Report of Records Holdings. (d)

### **Authority (3)**

Federal law requires proper authorization by the Archivist of the United States to destroy Government records. Authorization for the destruction of records is contained in NUREG-0910. This schedule provides for the selective retention of records of continuing value and the destruction of records of temporary value after the expiration of a specific event. The schedule also includes retirement procedures for moving inactive and semiactive records from office space to low-cost storage facilities. (a)

Official records are NOT to be destroyed except in accordance with the disposition instructions contained in NUREG-0910. (b)

## **Records Disposition Objectives and Procedures (D) (continued)**

### **Authority (3) (continued)**

Nonrecord material may be destroyed when its purpose is served. To control the accumulation of nonrecord material, disposal standards identifying specific kinds of this material are included in NUREG-0910, NRC Schedule 1, Part 1. This schedule establishes the maximum retention period for different types of nonrecord material. (c)

Official records are the sole property of the United States Government and are subject to the provisions of Section 2071, Title 18 of the United States Code, which stipulates—(d)

- Whoever willfully and unlawfully conceals, removes, mutilates, obliterates, or destroys, or attempts to do so, or with intent to do so takes and carries away any official record, proceeding, map, book, paper, document, or other thing, filed or deposited with any clerk or officer of any court of the United States, or in any public office, or with any judicial or public officer of the United States, shall be fined not more than \$2,000 or imprisoned not more than 3 years, or both. (i)
- Whoever, having the custody of any such official record, proceeding, map, book, document, paper or other thing, willfully and unlawfully conceals, removes, mutilates, obliterates, falsifies, or destroys the same, shall be fined not more than \$2,000 or imprisoned not more than 3 years, or both, and shall forfeit his office and be disqualified from holding any office under the United States. (ii)

### **Applicability of the Records Disposition Schedule (4)**

The disposition of all NRC records is controlled by the authorized instructions contained in NUREG-0910, NRC Schedules 1 and 2, which apply to the NRC program or substantive records, and General Records Schedules 1 through 23, which apply to housekeeping or facility records. (a)

The authorized disposition for each series of records has been approved by NRC officials and, if appropriate, by the General Accounting Office and was authorized by the Archivist of the United States. The disposition schedules, as authorized, are legally mandatory

## **Records Disposition Objectives and Procedures (D) (continued)**

### **Applicability of the Records Disposition Schedule (4) (continued)**

(36 CFR Part 1228). When justified by NRC operating officials, continued retention of any series of records beyond the period authorized in these schedules must be approved by the NRC Records Officer and by the NARA. (b)

### **Files Cutoff Procedures (5)**

#### **Definition and Objectives (a)**

Files cutoff is the separation of active from inactive files. Established periodic cutoff of files is essential to effectively control record accumulations and their growth and to facilitate economical disposition of records in convenient blocks. Recordkeepers should cut off files annually, separate inactive files from active files, and retire or destroy materials as appropriate. (i)

Cutting off files is important because it controls the size of the file. If not cut off periodically, the content of folders grows until individual papers become hard to find. If files are cut off periodically, older files can be progressively moved from active files space to lower cost storage space, for example, the NRC Archival Facility (AF), as their reference usefulness declines. (ii)

#### **Cutoff Standards (b)**

Chronological sequence files, such as accounting records, are filed by period of account (fiscal year) and lend themselves to cutoff procedures. Chronologically arranged records can be readily cut off and retired in convenient blocks. (i)

Subject files are cut off at planned intervals. There is no natural cutoff point, as is true for case files or chronologically arranged records. Subject files are usually maintained by fiscal year. (ii)

Case or project files are often cut off upon the termination of a transaction or the expiration of an event, such as separation of personnel, a final contract payment, or completion of a project. When closed, the case file should be marked with the date of closure and placed in an inactive file apart from the active files. The inactive files can then be retired or destroyed in convenient fiscal year blocks. Case

## **Records Disposition Objectives and Procedures (D) (continued)**

### **Files Cutoff Procedures (5) (continued)**

#### **Cutoff Standards (b) (continued)**

files that continue over many years can be cut off by setting up a new folder each year and retiring the prior year's folders that are seldom referred to. (iii)

Technical reference materials have no established cutoff point and are destroyed when they are superseded, become obsolete, or are no longer needed. These files should be reviewed at least annually to determine whether they are current and still useful. (iv)

### **Use of the NRC Archival Facility (AF) (6)**

#### **Description and Purpose (a)**

The NRC AF is an offsite records storage facility designed to provide for the indefinite preservation of NRC's environmentally sensitive archival records, as well as the economical storage, rapid retrieval, and eventual disposal of NRC's noncurrent temporary records. The AF provides secure storage for all physical forms of classified and unclassified NRC records, hard copy (paper), magnetic media (tape and disk), microform, and so forth. (i)

The AF functions as an extension of office file areas by providing for the storage, subsequent referencing, and maintenance of official agency records until their legal retention period has been met, or until they are eligible for transfer to a Federal Records Center or the National Archives. Offices should keep only the minimum volume of current records necessary for operation. (ii)

#### **Procedures for Retiring Record Material (b)**

**Selection of Records for Transfer.** Inactive records that are not eligible for disposal or for retirement to a Federal Records Center are transferred to the AF for temporary storage. (i)

**Notification.** Headquarters organizations wishing to transfer records must contact IRMB to request a site review of the material proposed for transfer to the AF. Regional organizations wishing to transfer records must contact their RLO, who will coordinate the transfer with IRMB, IRM. (ii)

## Records Disposition Objectives and Procedures (D) (continued)

### Use of the NRC Archival Facility (AF) (6) (continued)

**Site Review.** As necessary, IRMB reviews records at the office of origin to determine their true record value and retention requirements. (iii)

**Containers.** Upon approval of the transfer of records to the AF, records center boxes (1-cubic-foot capacity) are furnished to retire paper records. Each records center box accommodates 15 linear inches of letter-size files or 12 linear inches of legal-size files. IRMB also has containers available for retiring environmentally sensitive records that must not be stored or transported in cardboard records center boxes. (iv)

**Packing Containers.** Records with varying disposition dates are not to be packed in the same container because the entire container must be held until the expiration of the last disposition date. When packing records for retirement, use the same filing arrangement that was used by the transferring organization. Retire different series of records as separate AF jobs. Exhibit 11 gives detailed instructions for preparing records for retirement to the AF. (v)

**Numbering the Containers.** Number each container of a job in the upper right corner, beginning with Number 1. (vi)

**Transfer Request Form.** The IRMB supplies the originating office with NRC Form 35, "Records Transfer," and NRC Form 35A, "Records Transfer (Continuation)," (Exhibits 3 and 4). IRMB will also help personnel to fill out the transfer form upon request. Exhibit 12 gives detailed instructions for preparing NRC Forms 35 and 35A. (vii)

**Physical Transfer.** IRMB arranges for the physical transfer of headquarters' records to the AF. Regional offices must arrange for the physical transfer of their records to the AF and must coordinate the transfer with IRMB. (viii)

### Access to Records (c)

Access to records or information contained in records stored at the AF is restricted to the RLO and the alternate RLO.

## **Records Disposition Objectives and Procedures (D) (continued)**

### **Use of the NRC Archival Facility (AF) (6) (continued)**

#### **Procedures for Recall of Retired Records (d)**

RLOs and alternate RLOs may recall records stored at the AF by contacting IRMB. Requesting RLOs supply the job, box, and shelf numbers, that is, sufficient information to permit ready identification of the desired material. Recall requirements specify that the entire container be returned. All requests for recalls are handled as expeditiously as possible. IRMB maintains accountability for all material stored at the AF, including withdrawals and returns.

#### **Destruction of Retired Records (e)**

IRMB will notify the appropriate RLO when records stored at the AF or the Washington National Records Center (WNRC) have met their legal retention period and are scheduled for destruction in accordance with NUREG-0910. Upon notification of impending destruction, the RLO must ensure that there are no legal actions or pending FOIA requests that would preclude the scheduled destruction of the records. If the records must be retained, the RLO may request an extension of the retention period by providing IRMB with written justification, including a proposed new destruction date. If no legal actions or pending FOIA requests preclude the scheduled destruction, the records will be destroyed in accordance with the methods prescribed by the NARA in 36 CFR 1228.58. Unclassified paper records are disposed of at an authorized paper recycler and classified or sensitive unclassified records are disposed of in accordance with MDs 12.2 and 12.6.

### **Use of the Washington National Records Center (WNRC) (7)**

Records that are sufficiently inactive and are not scheduled for early destruction are retired to the WNRC after approval by the NRC Records Officer. (a)

In all cases, retirement of records to the WNRC is initiated by IRMB, which coordinates all records retirement actions with the appropriate RLO. (b)

## Records Disposition Objectives and Procedures (D) (continued)

### Transfers to the National Personnel Records Center (NPRC) (8)

**Records of Current Employees.** Official personnel folders and related payroll records are retired to the NPRC (Civilian), St. Louis, Missouri, as prescribed in NUREG-0910, and as further explained in this section. This center does not acknowledge receipt of records. (a)

**Records of Separated Employees.** Official personnel folders of employees who are separated from NRC are placed in an inactive file upon their separation. Thereafter, these inactive folders are transferred to the NPRC. Loose papers that are to be included in official personnel folders previously sent to the NPRC are forwarded to the center with Standard Form (SF) 127, "Request for Official Personnel Folder (Separated Employee)" (Exhibit 13), provided the papers are permanent and essential for inclusion in an individual's folder. A separate SF 127 is used to transmit the papers for each individual. (b)

**Payroll Records.** Because of their value as auxiliary personnel records, certain payroll records (such as individual earnings and service cards, final leave records and, in some situations, memorandum copies of payrolls) are transferred to the NPRC as prescribed by NUREG-0910, General Records Schedule 2, Item 1, "Individual Accounts Files"; Item 10, "Leave Data Files"; and Item 13, "Payroll Files." (c)

### Transfer of Official NRC Records to an Agreement State (9)

Official NRC records are transferred to a State government when the Commission enters into an agreement with the State under Section 274b of the Atomic Energy Act of 1954, as amended. The specific records to be transferred are identified by the program or regional office based upon the regulatory function that is being relinquished to the State. (a)

After identifying the specific records proposed for transfer, and before the removal of the records from the NRC, the appropriate RLO will prepare NRC Form 519, "Transfer of Official NRC Records to an Agreement State" (Exhibit 14), by completing blocks 1 through 9 and 11, signing the form in block 12, and forwarding the completed form to the NRC Records Officer for review and approval. In the event that the records proposed for transfer are in the physical custody of another NRC office, for example, program records of the Office of Nuclear

## **Records Disposition Objectives and Procedures (D) (continued)**

### **Transfer of Official NRC Records to an Agreement State (9) (continued)**

Material Safety and Safeguards (NMSS) maintained by IRM in the White Flint File Center, the NMSS RLO shall forward the NRC Form 519 to the IRM RLO who has responsibility for physical custody of the records. The IRM RLO will complete blocks 4 (file custodian) and 11.D (date of each file) of the form, sign the form in block 13, and forward the form to the NRC Records Officer for review and approval. (b)

Upon receipt of the NRC Form 519, the NRC Records Officer will ensure that the records identified on the form are eligible to be removed from NRC custody and transferred to a State Government under NUREG-0910. (c)

Upon verifying that the records are eligible for transfer, the NRC Records Officer will sign the NRC Form 519 approving transfer of the records and forward the form to the RLO who has physical custody of the records. (d)

Upon receipt of the approved NRC Form 519, the office RLO who has physical custody of the records will complete block 10 (actual date of transfer) and coordinate the preparation and shipment of the records and the NRC Form 519 to the State agent with the appropriate file custodians and administrative staff. (e)

- The records should be packaged in records shipping boxes, Stock Number 8115-00-290-3379, and securely sealed with filament tape. Each records shipping box will accommodate 1 cubic foot of paper records. (i)
- The records may be shipped to the State by mail, United Parcel Service (UPS), or common carrier. The headquarters or regional central mail room will arrange for the most economical means of shipping fewer than 24 boxes. The most economical means of shipping more than 24 boxes is by common carrier. Contact the regional or headquarters procurement office to arrange for shipment by common carrier. (ii)



## Records Disposition Objectives and Procedures (D) (continued)

### Transfer of Official NRC Records to an Agreement State (9) (continued)

Upon shipment of the records, the office RLO who has physical custody of the records will ensure that the State agent receiving the records has signed the NRC Form 519 in block 15 verifying receipt of the records and will return a signed copy of the form to the NRC Records Officer. (f)

### Transfer of State Government Records to the NRC (10)

Records documenting the licensing of persons, institutions, facilities or companies to use and/or transport byproduct, source, or special nuclear materials shall be transferred (returned) to the NRC when the NRC reasserts all or part of its regulatory authority that had been relinquished to the State. The NRC must receive from the State all records that document the licensing history of each license. These records should include but are not limited to the following documents: (a)

- The license application, amendment requests, and renewal requests. (i)
- The complete license, including all amendments. (ii)
- All files documenting inspection and enforcement activities. (iii)
- All internal and external correspondence relating to the license. (iv)
- All records documenting decommissioning, decontamination, or termination of the license, including interim or partial decommissioning of specific facilities at any time during the history of licensed operations. (v)
- All documents dealing with the disposition of waste or other material or residual contamination at the site, including records of onsite burials. (vi)
- All records of spills and other unusual occurrences involving the spread of contamination in and around the facility, equipment, or site. (vii)

## **Records Disposition Objectives and Procedures (D) (continued)**

### **Transfer of State Government Records to the NRC (10) (continued)**

- As-built drawings and modifications of structures and equipment in restricted areas where radioactive materials were used or stored and locations of possible inaccessible contamination. (viii)
- All documents related to financial assurance for decommissioning, including decommissioning funding plans, certifications of financial assurance for decommissioning, related cost estimates, and records of funding methods. (ix)

The specific records to be returned to the NRC must be identified by the NRC program or regional office that will assume the regulatory function. (b)

The records may be returned to the NRC by mail, UPS, common carrier, or they may be picked up and transported by the NRC program or regional office staff. The program or regional office determines the most economical and advantageous means of returning the records to the NRC, taking into consideration the volume of records to be transferred and the circumstances that reestablish NRC's regulatory authority. (c)

Upon receipt of the records, the RLO responsible for the records will prepare NRC Forms 545 and 545A, "Transfer of State Government Records to the NRC" (Exhibits 15 and 16), by completing blocks 1 through 7 and will forward the completed form to the NRC Records Officer to document the transfer. In the event that the records will be maintained by another NRC office, for example, program records of NMSS maintained by IRM, the IRM RLO will verify receipt of the records by signing block 8 of the NRC Form 545. (d)

### **Annual Report of Records Holdings (11)**

All NRC offices maintaining any file material must submit an annual report of records holdings that provides the number of cubic feet of records on hand at the close of each fiscal year, the volume of record and nonrecord material destroyed or transferred during the fiscal year, and the number of file cabinets on hand.

## Records Disposition Objectives and Procedures (D) (continued)

### Annual Report on Records Holdings (11) (continued)

**Form.** This report is made on NRC Form 317, "Annual Report of Records Holding and Disposition" (Exhibit 17). NRC Form 317A, "Records Inventory Worksheet" (Exhibit 18), may be used by offices to collect the data required on NRC Form 317. (a)

**Submission.** Before the close of each fiscal year, IRMB will request RLOs to submit their Annual Report of Records Holdings. Each file custodian submits a feeder report on NRC Form 317 to the appropriate RLO as soon as possible after the fiscal year closes. RLOs submit consolidated reports to the NRC Records Officer. The IRMB prepares a consolidated NRC report that is used for budgetary and resource planning to project filing equipment needs and to predict space requirements for storing inactive agency records. (b)

### Microfilming (12)

Occasionally, the microfilming of records is a sound course of action in the records disposition program. However, microfilming solely to save storage costs can seldom be justified. Care must be taken to ensure that the microfilm copies produced are adequate substitutes for the original records and serve the purposes for which these records were created and maintained.

**Permanent Records.** Approval by the Archivist of the United States is required before establishing a microfilm project involving permanent records when the microfilm is proposed as a replacement for the original records. (a)

**Temporary Records.** Approval by the Archivist is not required for microfilm projects involving temporary records. If it is anticipated that the microfilm copies of the records will have a value of 10 or more years, the microfilm record should conform to the standards specified in MD 3.56, "Micrographics Management." (b)

### Disposition of Personally Held Nonrecord Materials (13)

Federal officials may remove from the NRC their personal papers and extra copies of publicly released, nonrecord material that they organized and maintained for reference during their employment. (a)

## **Records Disposition Objectives and Procedures (D) (continued)**

### **Disposition of Personally Held Nonrecord Materials (13) (continued)**

Extra copies of records that have not been released to the public must be handled under the requirements of this part, relevant Federal statutes, and NRC regulations and directives (Section 147 of the Atomic Energy Act of 1954, as amended; the Freedom of Information Act (5 U.S.C. 552); the Privacy Act (5 U.S.C. 552a); 10 CFR 2.790; and MDs 12.2 and 12.6). (b)

Extra copies of nonpublic records may not be removed from the agency by any NRC employee (including records authorized by the employee) upon retirement or separation, except for personnel-related documents such as the employee's own performance appraisals and personnel actions. In addition, special access provisions apply to the Commissioners. Reference Part IV, "Procedures for Managing Records and Papers of Commissioners," of this handbook for guidance pertaining to the disposition of a Commissioner's personal papers, nonrecord copies of agency records, and his or her office files. (c)

Personal papers (referred to as "personal records" under the FOIA and pertinent case law) are—(d)

- Documents of a private or nonofficial character that ordinarily pertain only to an individual's personal affairs and do not affect the conduct of agency business, such as family papers and personal correspondence relating to private business, professional, or community service activities. (i)
- Notes prepared by the NRC employee pertaining to agency business but that (1) are prepared for the individual's own use and have not been circulated to others in the course of transacting NRC business, (2) are not required to be maintained by NRC policy or procedures, (3) are retained or discarded at the author's sole discretion, and (4) would not be considered agency records if requested under the FOIA. (For detailed information on FOIA procedures and definitions, see MD 3.1, "Freedom of Information Act.") (ii)

## **Records Disposition Objectives and Procedures (D) (continued)**

### **Disposition of Personally Held Nonrecord Materials (13) (continued)**

The NRC does not have authority over the disposition of or access to "personal papers" as defined in Section (D)(13) of this part. To ease disposition and access, NRC employees should keep their files of personal papers separate from agency records and nonrecord materials. Agency records, including nonpublic documents contained in office files, cannot be destroyed or removed from the NRC except in accordance with the provisions of this directive. (e)

Extra copies of agency records are commonly regarded as nonrecord material and may be disposed of without reference to the requirements of Chapter 33, Title 44, of the U.S. Code, which define Federal records and prohibit their destruction or removal from Government custody without the approval of the Archivist of the United States. (f)

## **Part III**

# **Procedures for Revising the “NRC Comprehensive Records Disposition Schedule”**

### **Introduction (A)**

This part defines the responsibilities and procedures for revising the “NRC Comprehensive Records Disposition Schedule” (NUREG-0910).

### **Responsibilities (B)**

Each office is responsible for ensuring compliance with the provisions of the records disposition schedule and ascertaining that all records of the organization are covered by appropriate disposition instructions. Each office reviews its files at least annually at the time of the annual inventory of NRC record holdings to determine whether the applicable standards are adequate and are being followed.

### **Application for Schedule Revision (C)**

#### **Annual Review (1)**

Recommendations to add, delete, or change records disposition standards should be made when the annual review discloses—

- Series of records that are not covered by the schedules. (a)
- Items that should be deleted from the schedules because the records are no longer being created or maintained. (b)
- Retention periods that need to be changed. Changes are recommended only when the need is clearly indicated and justified. (c)

## **Application for Schedule Revision (C) (continued)**

### **Development of New or Revised Records Retention Schedules (2)**

Retention schedules for the majority of the NRC records are contained in NUREG-0910. However, occasionally there are newly created file series or others cannot be paired with an existing schedule. In these instances, a recommendation to schedule the records for retention is initiated. (a)

NRC Form 331, "Records Retention and Disposition Authority" (Exhibit 19), is used to initiate a request for a records disposition schedule for any unscheduled record. Send the original and a duplicate of the form, approved by the Records Liaison Officer, to the NRC Records Officer. When necessary to clarify the description or purpose of the record, a sample or facsimile record may be attached to the form to facilitate processing. Prepare a separate NRC Form 331 for each series of records. (b)

### **Review by the NRC Records Officer (3)**

The NRC Records Officer reviews, coordinates, and evaluates the request for conformance with established policies and regulations. If a decision is made to add or change a disposition schedule, the NRC Records Officer initiates the necessary action to obtain concurrence from the General Accounting Office, as appropriate, and the approval of the Archivist of the United States. Unless the record is unique to one office, requests for changes or additions to a disposition standard are prepared to cover all NRC identical records. (a)

Additions or changes to schedules are published as numbered changes to NUREG-0910. Records recommended for disposal are not destroyed until such specific amendments are issued. (b)

## **Part IV**

# **Procedures for Managing Records and Papers of Commissioners**

### **Introduction (A)**

This part establishes procedures for the management and disposition of records accumulated by Commissioners during their terms of office. These procedures—

- Preserve a full record of the Commissioner's activities and decisions during his or her term of office (1)
- Safeguard against unauthorized or inadvertent release of classified or sensitive information (2)
- Provide guidance on removal of nonrecord copies of documents (3)

### **General Requirements (B)**

Upon leaving the NRC, Commissioners may remove their personal papers and, after signing a Confidentiality Agreement (Exhibit 20), extra copies of certain categories of agency documents specified in Section (E)(3) of this part. They may do as they wish with personal papers or extra copies of publicly released agency documents, including donating them to a research institution or other manuscript repository. (1)

Former Commissioners may remove extra copies of nonpublic records from the agency and also may donate these extra copies to a research institution upon execution of a Confidentiality Agreement (Exhibit 20) with NRC and subject to the limitations specified in Section (E) of this part. Nonpublic documents must be handled under the requirements of this part and the following relevant Federal statutes and NRC regulations and directives: (2)



## General Requirements (B) (continued)

- Section 147 of the Atomic Energy Act of 1954, as amended (a)
- The Freedom of Information Act (FOIA) (5 U.S.C. 552) (b)
- The Privacy Act (5 U.S.C. 552a) (c)
- “Public Inspections, Exemptions, Requests for Withholding,” 10 CFR 2.790 (d)
- Management Directive (MD) 12.2, “NRC Classified Information Security Program” (e)
- MD 12.6, “NRC Sensitive Unclassified Information Security Program” (f)

## Personal Papers, Agency Records, and Nonrecord Material (C)

### Personal Papers (1)

The personal papers of a Commissioner (referred to as “personal records” under the FOIA and pertinent case law) are—

- Documents of a private or nonofficial character that ordinarily pertain only to an individual’s personal affairs and do not affect the conduct of agency business, such as family papers and personal correspondence relating to private business, professional, or community service activities. (a)
- Notes prepared by the Commissioner pertaining to agency business but that (1) are prepared for the individual’s own use and have not been circulated to others in the course of transacting NRC business, (2) are not required to be maintained by NRC policy or procedures, (3) are retained or discarded at the author’s sole discretion, and (4) would not be considered agency records if requested under the FOIA. (For detailed information on FOIA procedures and definitions, see MD 3.1, “Freedom of Information Act.”) (b)

## **Personal Papers, Agency Records, and Nonrecord Material (C) (continued)**

### **Agency Records (2)**

An agency record is material that documents the activities of the agency as defined in the Glossary of this handbook. One copy of each agency record is designated as the official record copy and is kept as a part of the agency's records system. Except for the office files of individual Commissioners defined in Section (C)(3) of this part, the Office of the Secretary of the Commission (SECY) maintains the record copy of agency records for the Commission. (a)

Correspondence received by a Commissioner from another NRC official or a member of the public and designated "personal," but relevant to the conduct of official business, is an agency record. (b)

Agency records are subject to the "NRC Comprehensive Records Disposition Schedule" (NUREG-0910), the General Records Schedule, and the provisions of Federal law regarding the maintenance and disposition of Federal records. (c)

### **Office Files (3)**

The "office files" of an individual Commissioner are those materials that relate to agency business and, as a collection, are unique to that Commissioner's office. Except for personal papers, the office files are agency records and include the following material: (a)

- Notes, memoranda, correspondence, and other papers written by or exchanged between a Commissioner and members of his or her personal staff, or written by or exchanged between members of the Commissioner's staff without any circulation outside the Commissioner's office. (i)
- Notes, memoranda, correspondence, or other papers received by the Commissioner or his or her staff from another Commissioner or a member of the other Commissioner's staff that were not circulated to other Commissioners' offices. Office files do not include SECY papers and COMSECY papers. (ii)

## **Personal Papers, Agency Records, and Nonrecord Material (C) (continued)**

### **Office Files (3) (continued)**

- Notes, memoranda, correspondence, or other papers from Commission-level offices or Executive Director for Operations (EDO) staff offices, from Congress, from other Government agencies, or from members of the public that were not circulated to other Commissioners' offices. (iii)
- Transcripts of telephone conversations relating to agency business and, if circulated to members of the Commissioner's staff, copies of agency records on which the Commissioner makes his or her own notations. (iv)

The files of an individual Commissioner's office must be maintained as a separate category of agency records under the title "Office Files of Commissioner \_\_\_\_\_." (b)

### **Nonrecord Material (4)**

Extra copies of agency records are commonly regarded as nonrecord material and may be disposed of without reference to the requirements of Chapter 33, Title 44, of the U.S. Code, which define Federal records and prohibit their destruction or removal from Government custody without the approval of the Archivist of the United States.

## **Maintenance and Disposition of Personal Papers and Access to Agency Records and Nonpublic Materials (D)**

### **Maintenance of Personal Papers (1)**

Personal papers that are maintained in a Federal office should be filed separately from agency records to—(a)

- Avoid inadvertent destruction or removal of official record material (i)
- Facilitate retrieval of agency records and thus enhance operational efficiency (ii)

## **Maintenance and Disposition of Personal Papers and Access to Agency Records and Nonpublic Materials (D) (continued)**

- Eliminate the likelihood that personal papers will be confused with agency records and be made available under the FOIA (iii)

When matters requiring the transaction of official business are received or transmitted in personal correspondence, that portion of the correspondence that pertains to official business must be extracted and made part of the agency records. (b)

### **Disposition of and Access to Personal Papers and Office Files (2)**

The NRC does not have authority over the disposition of or access to “personal papers” as defined in Section (C)(1) of this part. To ease disposition and access, Commissioners should keep their files of personal papers separate from agency records and nonrecord materials. Agency records, including nonpublic documents contained in office files, cannot be destroyed or removed from the NRC except in accordance with the provisions of this directive. (a)

Record copies of office files of an individual Commissioner will remain in the exclusive possession of the NRC. However, a former Commissioner may have access to the record copies after signing a Confidentiality Agreement (Exhibit 20). In accordance with this agreement, a former Commissioner may remove reproduced copies of his or her office files that he or she created, reviewed, or maintained while serving as a Commissioner. The conditions and procedures for this removal are specified in Section (F) of this part. (b)

### **Agency Storage (3)**

When a Commissioner leaves the NRC, he or she may store personal papers and nonrecord materials, including reproduced copies of office files, with SECY for 2 years. If the documents have not been removed by the end of the 2-year period, the NRC Records Officer will contact the former Commissioner at his or her last address of record to make appropriate arrangements for the disposition of the files. If the NRC Records Officer cannot contact the former Commissioner, the materials will be subject to destruction under the NRC schedule for the disposition of nonrecord material. Personal papers that have not been removed from the NRC by the end of the 2-year period are also subject to destruction. (a)

## **Maintenance and Disposition of Personal Papers and Access to Agency Records and Nonpublic Materials (D) (continued)**

### **Agency Storage (3) (continued)**

The NRC cannot provide the services of an archival institution. If a former Commissioner wishes frequent access to his or her personal papers or nonrecord materials, he or she should make appropriate arrangements to remove these materials from the agency, for example, by donating them to a research institution. (b)

A Commissioner should make a determination within 45 days after the termination of employment with the NRC about whether to transfer the files that are allowed to leave the agency under Section (E) of this part. In that way, the Commissioner and members of his or her personal staff will have time to organize, separate, and prepare the papers for disposition before moving to new offices or positions. The former Commissioner must inform the Division of Security (SEC), Office of Administration (ADM); SECY; and the Office of the General Counsel (OGC), in writing, regarding the transfer and destination of the files. (c)

## **Transfer of Personal Papers and Nonrecord Materials (E)**

### **Materials That Can Be Transferred (1)**

Subject to the restrictions set forth in this part, upon leaving office, Commissioners may remove materials, including personal papers and some nonrecord materials, and may also donate these materials to a research institution or other manuscript repository to ensure that a historical record of their term in office is available to researchers in later years. (a)

A Commissioner may release copies of his or her office files or his or her own vote sheets at any time before the expiration of his or her term in accordance with general Commission practice concerning the handling of predecisional and sensitive information. Copies of these released documents may be handled in the same way as any other publicly released document. A Commissioner may, for a period of 6 months after the end of his or her term, recommend the release of

## **Transfer of Personal Papers and Nonrecord Materials (E) (continued)**

### **Materials That Can Be Transferred (1) (continued)**

reproduced copies of his or her office files or vote sheets to the Secretary of the Commission. The Secretary will make the final determination regarding release. The original copies of these documents are agency records that cannot be removed from the NRC. (b)

In addition to personal papers and extra copies of publicly released material, Commissioners may remove and/or donate to a research institution copies of certain nonrecord materials that have not been made public in accordance with the procedures specified in Section (E)(3) of this part. (c)

A Commissioner who wishes to donate documents to a research institution should donate the actual documents. The NRC will not duplicate documents other than agency records contained in office files. (d)

### **Categories of Nonpublic Files That Cannot Be Removed From the NRC (2)**

Before removing any files from the NRC, the departing Commissioner must complete a certification (Exhibit 21) that the following categories of sensitive agency records have been separated from the files. These categories of nonpublic records will remain in the exclusive possession of the NRC and will not be released subject to any Confidentiality Agreement: (a)

- Official record copies (i)
- Classified information (ii)
- Personnel information, including Office of the Inspector General (OIG) reports relating to personnel matters (iii)
- Proprietary information (iv)
- Safeguards Information (v)
- Sensitive investigatory information, including pending cases or closed cases containing sensitive information (vi)

## Transfer of Personal Papers and Nonrecord Materials (E) (continued)

### Categories of Nonpublic Files That Cannot Be Removed From the NRC (2) (continued)

- Nonpublic budget planning information (vii)
- Adjudicatory action papers (viii)
- Legal work products and other records covered by attorney-client privilege (ix)
- Vote sheets of other members of the Commission not released to the public at the time of their vote (x)
- Closed Commission meeting transcripts (xi)
- Nonpublic documents received from other Government agencies (xii)
- Nonpublic reports prepared by the OIG (xiii)
- Sensitive enforcement information, including pending cases or closed cases containing sensitive information (xiv)
- Other categories that the Commission might add as circumstances warrant (xv)

As part of the certification process, a team consisting of representatives from the following offices must coordinate a review of all records and determine the classification, if any, of nonrecord copies of documents, the applicable category of any sensitive unclassified documents, and their prescribed protective measures: (b)

- Office of Investigations (OI) (i)
- SEC, ADM (ii)
- Division of Freedom of Information and Publications Services (DFIPS), ADM (iii)
- OGC (iv)
- NRC Records Officer, Office of Information Resources Management (IRM) (v)

## **Transfer of Personal Papers and Nonrecord Materials (E) (continued)**

### **Categories of Nonpublic Files That Cannot Be Removed From the NRC (2) (continued)**

- NRC Historian, SECY (vi)
- When appropriate, Office of Enforcement (OE) (vii)

The departing Commissioner's staff should initiate the first review of all records to be transferred before contacting the team to conduct its review. (c)

To allow adequate time for review and coordination, a representative from the Commissioner's office should contact DFIPS, ADM; the NRC Records Officer; and the NRC Historian at least 6 months before the expiration of the Commissioner's term of office. (d)

### **Release of Documents Transferred to a Research Institution (3)**

Except for the limitations specified in Section (E)(2) of this part, a former Commissioner may transfer nonrecord materials to a research institution or other manuscript repository. The Commissioner may make this transfer whether or not the documents were previously released to the general public by the NRC, provided that a deed of gift, reviewed and approved by OGC, between the departing Commissioner, the Commission, and the research institution incorporates the conditions specified in this management directive on public release of nonpublic documents. If nonpublic NRC documents are to be transferred to the institution, the deed of gift must ensure that the institution imposes adequate controls to prevent the inadvertent release to the public of the categories of documents for the periods specified in Figure IV-1. The institution may make public the categories of records listed in Figure IV-1 after expiration of the period specified. (a)

At the request of a former Commissioner or a representative of the repository of the Commissioner's papers, the NRC may review, within a reasonable period, any document scheduled for release after 12 years to determine if it may be released immediately to the public without further restrictions. Any request for review should be made to the Secretary of the Commission. (b)



## Transfer of Personal Papers and Nonrecord Materials (E) (continued)

### Release of Documents Transferred to a Research Institution (3) (continued)

Type of Record	Release Date
Memoranda or other records originated by another Commissioner or his or her personal staff	Twelve years from the date of the document, or earlier with the permission of the Commission
Staff papers in the SECY series that do not fall within the categories listed in Section (E)(2) of this part	Twelve years from the date of the document
Staff requirements memoranda that do not fall within the categories listed in Section (E)(2) of this part	Twelve years from the date of the document
Draft responses to members of Congress	Five years from the date of the response
Enforcement actions	Five years from the date of the document
Legal memoranda, other than memoranda in categories listed in Section (E)(2) of this part, prepared by OGC	Twelve years from the date of the document
Reports prepared by OI	Twelve years from the date of the document
Any other documents that have not been publicly released by the NRC and that are less than 2 years old when received by the research institution	Twelve years from the date of the document
Copies of office files	Twelve years from the date of the document

**Figure IV-1 Time Limitations on the Release of  
Nonpublic Documents**

## **Transfer of Personal Papers and Nonrecord Materials (E) (continued)**

### **Release of Documents Transferred to a Research Institution (3) (continued)**

In order that the NRC may have access to all relevant information, a former Commissioner shall ensure by contract with the research institution or other repository that nonpublic NRC documents at the institution will be made available upon request for official NRC research projects. (c)

## **Access to and Use of Nonpublic Materials by a Former Commissioner (F)**

### **Access to Unclassified Information After Signing a Confidentiality Agreement (1)**

Upon signing a Confidentiality Agreement (Exhibit 20), a former Commissioner may remove documents accumulated during his or her term of office at the NRC, including the categories of nonpublic materials listed in Section (E)(3) of this part, and may review documents in the categories specified in Section (E)(2) of this part that are in agency storage. If a former Commissioner wishes access to documents from his or her term of office that cannot leave the agency as listed in Section (E)(2), he or she should make a request, in writing, to the Secretary of the Commission. The Secretary, upon consultation with the Commission and the General Counsel, has the authority to permit access to these materials. If a former Commissioner wishes to have documents released that are not public, or wishes to cite them or quote them for publication, he or she should make a request in writing to the Secretary stating the reason he or she wants the document(s) to be released to the public.

### **Classified Information (2)**

Access to classified information that a former Commissioner originated, reviewed, signed, or received while in office can only be granted by the Chairman upon a written determination that allowing continued access to classified information is consistent with the provisions of applicable Executive Orders or other Government directives. Exhibit 22 is an example of a letter requesting continued

## **Access to and Use of Nonpublic Materials by a Former Commissioner (F) (continued)**

### **Classified Information (2) (continued)**

access to classified information, and Exhibit 23 is an example of the Chairman's response. A request for continued access to classified information will be coordinated by the Director, SEC, ADM, under NRC security directives and applicable statutes, Executive Orders, and implementing regulations. SEC will maintain the combinations to security containers outside NRC that exclusively contain NRC classified materials from former Commissioners. The combinations to the security containers inside NRC will be maintained by SECY.

### **Public Information (3)**

If a former Commissioner has not signed a Confidentiality Agreement (Exhibit 20) under Section (F)(1) of this part granting access to public and nonpublic documents from his or her term of office, he or she should obtain documents containing public information from the NRC Public Document Room.

### **Nonpublic Documents (4)**

Unless written authorization is obtained as specified in Section (F)(1) or (2) of this part, requests for access to nonpublic documents will be handled under the procedures for FOIA requests.

## **Conflict-of-Interest Review (G)**

A conflict-of-interest review will be conducted, upon request, if a former Commissioner wishes agency legal advice on whether he or she is precluded from participating in a matter on behalf of someone other than the United States under the following laws, regulations, or rules: (1)

- Federal conflict-of-interest laws or regulations (a)
- Rules of the relevant bar association, in the case of former Commissioners who are attorneys (b)
- Rules of other professional organizations (c)

## **Conflict-of-Interest Review (G) (continued)**

In these instances, the former Commissioner should contact the General Counsel, or an attorney in OGC who has been designated a deputy counselor by the General Counsel, for review of nonpublic documents to assist the former Commissioner in making a conflict-of-interest determination. MD 7.5, "Ethics Counseling," authorizes the General Counsel to serve as the agency's Designated Agency Ethics Official and counselor with overall administrative responsibility for the NRC's ethics program. MD 7.5 also authorizes the General Counsel to designate OGC attorneys as deputy counselors. (2)

In conducting the review, the General Counsel or a designated deputy counselor may permit limited access to and discuss nonpublic documents with the former Commissioner, as OGC deems appropriate, before providing the former Commissioner with legal advice on conflict-of-interest matters. In deciding whether to grant limited access to nonpublic documents to the former Commissioner, the General Counsel or a designated deputy counselor will take into consideration, among other things, any obligation the former Commissioner may have under the rules of the relevant bar association or other professional organization to make a conflict-of-interest determination. If the General Counsel or the designated deputy counselor does not grant limited access to nonpublic documents to the former Commissioner, the General Counsel or the deputy will, upon the request of the former Commissioner, provide him or her with a written statement that explains why access has been denied. (3)

## **Part V**

# **Procedures for Managing Vital Records**

### **Introduction (A)**

This part provides instructions for NRC staff in the selection, preparation, and inventory of vital records and the transmission, maintenance, and disposition of these records at NRC relocation sites as part of the NRC Vital Records Program.

### **Vital Records (B)**

Records essential to NRC's continued operations during a national emergency comprise "NRC vital records." These records are categorized as either emergency operating records or rights and interests records.

#### **Emergency Operating Records (1)**

Records that are vital to the essential activities of the NRC for the duration of an emergency if the country is attacked comprise "emergency operating records." NRC's essential activities during national emergencies are defined in Management Directive (MD) 6.2, "Continuity of Government Programs." Included are records needed for—(a)

- The military effort (i)
- The mobilization and protection of material and personnel resources, services, and systems (ii)
- The maintenance of public health, safety, and order (iii)
- The conduct of essential civil defense activities (iv)

These records must be available at or in the vicinity of relocation sites and should be in a usable form that does not rely on special equipment. Emergency operating records could include classified or sensitive unclassified information. (b)

## **Vital Records (B) (continued)**

### **Emergency Operating Records (1) (continued)**

Records in this category consist of those operating records needed to perform or administer the following essential NRC functions: (c)

- Oversight surveillance of the operations of licensed nuclear reactors and fuel cycle facilities to ensure minimum hazard to health and safety consistent with national security needs (i)
- Assessment of damage to nuclear facilities (ii)
- Assessment of threats to special nuclear materials, high-level radioactive wastes, and nuclear facilities (iii)
- Assessment of requirements for recapture of special nuclear material (iv)
- Assessment of safety criteria for licensed nuclear facilities (and special nuclear material) relevant to the national emergency (v)
- Liaison with—(vi)
  - The office designated by the President to receive reports on the NRC emergency preparedness functions, for advice on the content of public instructions and information, and for recommendations concerning NRC's role in achieving national objectives (a)
  - Other Federal agencies with related functions (b)
  - State agencies concerning emergency conditions and required actions related to licensed facilities and materials (c)

Current copies of records identified as emergency operating records are maintained continuously at NRC relocation sites. (d)

### **Rights and Interests Records (2)**

Records that are required for the preservation of the legal rights and interests of individual citizens and of the Federal Government comprise "rights and interests records." These records require protection but need not be maintained at or in the vicinity of a relocation site, nor kept in paper form, because their need would not be immediate. Copies of rights and interests records are safeguarded in the NRC Archival Facility (AF) or the Washington National Records Center. Examples of these records are records containing proof of ownership, financial interest (payroll, leave, social security,

## **Vital Records (B) (continued)**

### **Rights and Interests Records (2) (continued)**

retirement, insurance), legal proceedings decisions, contractual obligations, and similar records. These records could contain sensitive or classified information.

## **Objectives of the NRC Vital Records Program (C)**

The objectives of the NRC Vital Records Program are—

- To ensure that emergency operating records vital to the continuity of essential NRC activities during a national emergency will be available at NRC relocation sites in the event that those sites are activated during a national emergency. (1)
- To safeguard rights and interest records essential to the preservation of the legal rights and interests of individual citizens and the Federal government. (2)
- To ensure that vital records are evaluated on the basis of their essentiality in carrying out emergency operations or in protecting the rights and interests of citizens and the Government and not on their value as permanent records. The records must be adequate for use by individuals other than those who would generally use them. (3)
- To employ control techniques to ensure that needed records are available at NRC relocation sites. (4)
- To ensure that records will be easily retrievable and maintained in usable condition. (5)
- To ensure that the necessary finding aids are available at the sites. (6)
- To ensure that a current inventory of records located at the sites is readily accessible. (7)

## **Duties (D)**

The NRC Records Officer is responsible for staff leadership, coordination, and audit of the NRC Vital Records Program, as well as the periodic evaluation of files maintenance and disposition activities at emergency relocation sites. The NRC Records Officer makes quarterly site visits to evaluate the records stored at the NRC headquarters' relocation site. (1)

## **Duties (D) (continued)**

The NRC Records Officer collects and maintains a select master set of Federal and NRC directives, handbooks, forms, and other issuances, both administrative and technical. (2)

Each major NRC program office is responsible for the implementation and operation of the vital records program within its area of responsibility. (3)

Records Liaison Officers (RLOs) are responsible for ensuring that copies of all records selected for retention at the relocation sites are collected and submitted on schedule to the NRC Records Officer for transfer to the appropriate relocation site. (4)

## **Vital Records Plans and Reviews (E)**

### **Vital Records Plan (1)**

Each office and region shall propose a "Vital Records Plan," NRC Form 340 (Exhibit 24), that will identify—(a)

- The emergency operating records that the office or region needs at NRC relocation sites in order to perform their assigned responsibilities during a national emergency. The office or region must identify the specific relocation site where the emergency operating records will be needed. (i)
- The rights and interest records that the office or region believes should be safeguarded at the NRC AF. (ii)

Each vital records plan must be signed by the office director, or regional administrator, as appropriate, and the office or regional RLO. The RLO will forward the signed plan to the NRC Records Officer for approval. Upon approval of the plan by the NRC Records Officer, the Office of Information Resources Management (IRM), in conjunction with the NRC office or region, will prepare an NRC Form 340A, "Vital Records Plan Identification and Implementation Data" (Exhibit 25) for each record item identified on the approved plan. The NRC Form 340A will contain all of the instructions and data necessary to transmit and update the records at the appropriate storage location. A copy of each approved NRC Form 340 with its associated NRC Form 340A will be forwarded by IRM to all Commissioners, the Secretary of the Commission, each office and regional RLO, and to the NRC relocation sites. (b)



## **Vital Records Plans and Reviews (E) (continued)**

### **Annual Vital Records Plan Update (2)**

IRM will request annual updated plans from each office and region to ensure that the records currently maintained for the vital records program are still adequate and needed in view of new or revised NRC program requirements. Revised plans will be processed and distributed in accordance with the instructions specified in Section (E)(1) above.

## **Implementation of the Plan (F)**

### **Records Preparation (1)**

To the extent possible, vital records selected for retention at relocation sites or the AF should be generated routinely as prepared or used to accomplish daily activities to preclude the need to make copies later. Directions for copying automated data processing (ADP) records needed for the vital records program should be included in the ADP program instructions.

### **Transmission of Vital Records to the NRC Records Officer (2)**

All vital records items listed on the approved vital records plans will be sent to the NRC Records Officer according to the NRC Form 340A. The RLO listed on the Form 340A is responsible for the timely transmittal of vital records to the NRC Records Officer.

### **Updating Emergency Operating Records at the NRC Relocation Sites (3)**

IRM is responsible for ensuring that the emergency operating records listed on the approved plans are updated at the appropriate relocation sites. Emergency operating records will be updated quarterly unless indicated otherwise on the NRC Form 340A.

### **Updating Rights and Interest Records at the NRC Archival Facility (AF) (4)**

IRM will update rights and interest records safeguarded at the AF as indicated on the NRC Form 340A.

## **Part VI**

# **Procedures for Managing Contractor Records**

### **Definition (A)**

Contractor records consist of all documentary materials created or received by a U.S. Nuclear Regulatory Commission (NRC) contractor or a U.S. Department of Energy (DOE) contractor performing work for NRC under the DOE/NRC Memorandum of Understanding (DOE/NRC MOU) in the performance of administrative, technical, or research work. These records consist of published and unpublished reports, background material, feeder reports, raw data, test or trial results, working papers, or any other documentation received or developed in the execution of the contract. These records could be classified or sensitive unclassified documents. (1)

Contractor records developed under contract with the agency described below as Category 3, "Contract Work Records," are the property of NRC (unless the contract states otherwise), whether submitted to NRC or retained by the contractor. These records are to be maintained or destroyed only under the applicable records retention schedules established by NRC. (2)

### **Categories of Contractor Records (B)**

Contractor records can be classified into three categories:

- **Category 1 – General Administrative Material (1)**

Internal general correspondence, internal notices, and material relating to day-to-day operations and administrative matters comprise a group of material that does not constitute agency records, and thus the NRC has no interest. Unless specifically identified in the contract to be retained and made available to NRC to satisfy negotiation, administration, or audit requirements

## Categories of Contractor Records (B) (continued)

- **Category 1 – General Administrative Material (1) (continued)**

(41 CFR Parts 1–20, “Retention Requirements for Contractor and Subcontractor Records”), this material may be destroyed after 2 years, or sooner if it is no longer needed by the contractor.

- **Category 2 – Contract Administration Records (2)**

Records held by the contractor that pertain to financial and cost accounting, pay administration, and acquisition and supply are to be retained under 41 CFR Parts 1-20. These records are to be retained by the contractor and are subject to examination and audit by NRC during the specified retention periods.

- **Category 3 – Contract Work Records (3)**

Records generated or received by the contractor relating directly to the function or purpose for which the contract exists are, in most cases, the contractual property of the NRC. These records do not, however, become “agency records” for the purposes of the Freedom of Information Act (FOIA) until they come into the actual physical possession of the NRC. These records include surveys, raw data, feeder reports, published and unpublished reports, experiment and test descriptions, methodology, test results, laboratory notebooks, and other records developed or received in the execution of the contract.

## Special Requirements for Category 3 Records (C)

### Sponsoring Office (1)

The office that sponsors a contract is responsible for ensuring that disposition action for all Category 3 records is carried out under the approved NRC records schedules.

- It is the responsibility of the NRC office requiring contractual services to specify on the “Request for Procurement Action (RFPA),” NRC Form 400 (Exhibit 26), Part 2, Item 12, special requirements and appropriate instructions for the disposition of contractor records. (a)

## **Special Requirements for Category 3 Records (C) (continued)**

### **Sponsoring Office (1) (continued)**

- The sponsoring office indicates on the RFPA that the contractor will, upon termination or completion of the contract, or at appropriate intervals during performance of the contract, transmit to the Commission all or certain records accumulated by the contractor in the performance of the contract. (b)
- Any records retained by the contractor after contract completion that are not eligible for disposition are to be transmitted to the project officer for ultimate disposition under the "NRC Comprehensive Records Disposition Schedule," NUREG-0910. (c)
- When another agency has continuing need for NRC contractor records beyond NRC requirements, the RFPA must include a brief statement to that effect. This clarification is needed to preclude the destruction of this material before all requirements are met. (d)

### **Division of Contracts (2)**

The Division of Contracts, Office of Administration, shall include special requirements and appropriate instructions in the contract to meet the recordkeeping requirements of the sponsoring office.

## **Part VII**

# **Standard NRC File System for Records of Work Performed Under the DOE/NRC Memorandum of Understanding**

### **Purpose (A)**

This part establishes an Office Project File for maintaining administrative documents and records pertinent to work performed by the Department of Energy (DOE) under the DOE/NRC Memorandum of Understanding (MOU) dated February 24, 1978. The contents of and the procedures for the maintenance of this file are described herein.

### **Scope (B)**

This part applies to all NRC offices and to the boards, panels, and committees of NRC. These provisions—(1)

- Ensure that all programmatic endeavors are properly documented under approved Federal Records Schedules and that a complete record is maintained for each project performed under the DOE/NRC MOU. (a)
- Prescribe the minimum information that must be retained in the Office Project File. (b)
- May be supplemented or amplified to meet individual needs and practices. (c)
- Supplement the instructions contained in Management Directive (MD) 11.7, "NRC Procedures for Placement and Monitoring of Work With the Department of Energy," and MD 3.57, "Correspondence Management," that require certain documents to be sent to the Division of Accounting and Finance, the Division of Budget and Analysis, Office of the Controller; the Division of Security, Office of Administration; and the Information and

## **Scope (B) (continued)**

Records Management Branch, Office of Information Resources Management. (d)

This part does not include provisions for technical documentation (see MD 3.50, "Document Management"). Maintenance of technical documents (e.g., formal and interim technical reports) is the responsibility of the NRC Nuclear Documents System (see MD 11.7 and MD 3.8, "Unclassified Contractor and Grantee Publications in the NUREG Series"). (2)

## **Definition (C)**

The Office Project File is the group of records maintained by the office that funds the work performed under the DOE/NRC MOU. The file contains the documents, memoranda, and references that are administrative material and pertinent to a project. A project provides for the specific acquisition of goods or services to satisfy one or more objectives. It is assigned a unique job code.

## **Duties (D)**

The project manager is responsible for ensuring that all pertinent administrative information describing the projects for which he or she is responsible, from the point of initiation through final closeout action, is provided to the Office Project File. The office director shall designate in writing the organizational location and the individual responsible for maintaining the Office Project File. These designations must be provided to the NRC Records Officer. The files will be available for review by appropriate individuals at any time.

## **Basic Requirements (E)**

The Office Project File includes all administrative documentation generated in the planning, execution, administration, and closeout of a project. The components and sections listed in Exhibit 27 are to be used as a guide in establishing and maintaining the files. The listed components are included in the file if they are generated in support of the project. Each project file contains an NRC Form 385, "Project File Identification" form (Exhibit 28), to identify the responsible project manager and the organization of the file components. If all the documentation associated with a particular project is not maintained in one location, the "Project File Identification" form shows the

## **Basic Requirements (E) (continued)**

organization responsible for those components maintained elsewhere. A separate file folder for each job code is maintained in each of the locations where the various elements of the file are stored.

## **Retention of Files (F)**

The Office Project File is maintained for the active period of the job code. Upon closeout, the file is forwarded to the NRC Records Officer for disposition under the provisions of the U.S. General Records Schedule and the "NRC Comprehensive Records Disposition Schedule," NUREG-0910.

## **Part VIII**

# **Nuclear Regulatory Commission Docket 50 Filing System**

This part describes the Docket 50 Filing System common to the NRC Nuclear Documents System (NUDOCS), the Public Document Room, and Local Public Document Rooms. To ensure a convenient and standard point of reference, it is recommended that all NRC offices that maintain Docket 50 Files conform to the system as the categories defined are applicable to the particular office filing needs. The category titles follow. Refer to NUREG/BR-0052, Revision 1, "Public Document Room File Classification System," for the content of each category.

- A: Application/Construction Stage Documents and Correspondence**
- B: Utility Preliminary Safety Analysis Report (PSAR) and Amendments**
- C: Utility Environmental Report (ER), Amendments, and Correspondence**
- D: NRC Draft and Final Environmental (IMPACT) Statements (DES and FES), Supplements, and Correspondence**
- E: NRC Safety Evaluation Report (SER), Supplements, and Correspondence**
- F: Security, Medical, Emergency, and Fire Protection Plans**
- G: Legal and Adjudicatory Correspondence**
- H: General Correspondence**
- I: Financial Information**
- J: Insurance and Indemnity Information**
- K: Utility Final Safety Analysis Report (FSAR) and Amendments**



- L: Limited Work Authorization (LWA) and Related Correspondence**
- M: Antitrust Review and Antitrust Correspondence**
- N: Antitrust Hearing Transcripts, Testimony, and Briefings**
- O: Advisory Committee on Reactor Safeguards (ACRS) Reports and Correspondence**
- P: Operating License Stage Documents and Correspondence**
- Q: Inspection Reports; IE Bulletins and Information Notices; Civil Penalties and Related Correspondence**
- R: Periodic Operating Reports and Related Correspondence**
- S: Reportable Occurrences, Preliminary Notification of Events or Unusual Occurrences (PNOs), Preliminary Notification of Safeguard Events or Unusual Occurrences (PNSs), and Related Correspondence**
- T: Transcripts, Testimonies, and Briefings on Nonantitrust Matters**
- U: Congressional/Executive Correspondence**
- V: Licensing Operators and Related Correspondence**
- W: Decommissioning Stage Documents and Correspondence**
- X: Onsite Low-Level Waste Storage**
- Y: Dry Cask Independent Spent Fuel Storage Installations**

## Part IX

# Procedures for Creating, Maintaining, Using, and Disposing of Electronic Records

### Introduction (A)

This part establishes the procedures for managing electronic records and describes the basic requirements for creating, maintaining, using, and disposing of electronic records. It will help individuals who generate and use electronic records, as well as those who develop and operate large electronic records systems. Electronic records include numeric, graphic, and textual information in data files and databases that is recorded on any medium that can be read by computer, including magnetic media such as tapes and disks, and optical disks. This directive is consistent with the National Archives and Records Administration (NARA) regulations specified in 36 CFR 1228.188, "Machine-Readable Records," NARA regulations specified in 36 CFR Part 1234, "Electronic Records Management," and General Services Administration (GSA) regulations specified in 41 CFR 201-45.2, "Electronic Records Management."

### Definitions (B)\*

**Authentication.** The verification of information or data for completeness and accuracy by an individual authorized by the NRC Records Officer to make such a determination.

**Certification.** Any activity with respect to—

- The process of ensuring that magnetic tapes or other storage media used to record and preserve information are free of defects and errors
- The confirmation that magnetic tape, computer output microfilm (COM), or hard copy produced from electronic records is a true copy of the original record

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\*These definitions are germane to electronic records and thus do not appear in the Glossary.

## Definitions (B) (continued)

**COM (Computer Output Microfilm).** Microfilm or microfiche containing data produced by a recorder from computer-generated signals.

**Database.** A set of data, consisting of at least one data file, that is sufficient for a given purpose.

**Database Management System.** A software system used to access and retrieve data stored in a database.

**Data File.** Related numeric, textual, or graphic information that is organized in a strictly prescribed form and format.

**Electronic Mail.** Messages sent or received in electronic form by remote computer terminals.

**Electronic Media.** The format in which information may be electronically maintained, such as magnetic tape, magnetic card, optical disks, and so forth.

**Electronic Record.** Any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record under 44 U.S.C. 3301.

**Electronic Records System.** Any information system that produces, manipulates, or stores Federal records by use of a computer.

**Information System.** The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual.

**Text Documents.** Narrative or tabular documents, such as letters, memoranda, and reports, in loosely prescribed form and format.

## General Requirements (C)

The requirements for electronic records are applicable to all NRC staff and are based upon the regulations entitled "Electronic Records Management" issued by NARA and GSA. (1)

Specific NRC requirements applicable to electronic records management are listed below. (2)

- Electronic records are destroyed only in accordance with approved records disposition schedules. (a)

## **General Requirements (C) (continued)**

- Disposition schedules are to be established as soon as possible for information contained in electronic records systems but no later than 1 year after the system becomes operational. This measure is necessary to ensure that the records disposition procedures are incorporated into the development of the system. (b)
- Electronic records collections of textual documents are not to be accumulated in lieu of hard copy or as the Official Record Copy without first meeting the requirements of this handbook. (c)
- Electronic records received from licensees, vendors, or other external organizations must be compatible with NRC's automated data processing (ADP) equipment to ensure NRC's access to the information. (d)
- Electronic records that are to be retained permanently must meet the archival quality requirements specified in this handbook. (e)

## **Objectives (D)**

The following objectives apply to electronic records:

- To establish guidance and procedures for creating, maintaining, using, and disposing of electronic records. (1)
- To ensure that the staff is knowledgeable about electronic records and the authority to retain or destroy them. (2)
- To ensure adequate documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the NRC when employing electronic records applications. (3)
- To ensure that the disposition of the records is planned during the early development of electronic records systems. (4)
- To describe special requirements for electronic records authorized for permanent retention. (5)
- To establish minimum labeling and filing requirements to ensure retrieval of electronic records. (6)
- To provide an environmental storage facility for inactive electronic records and backup tapes. (7)

## Objectives (D) (continued)

- To ensure that all electronic records systems are covered by General Records Schedules (GRS) or NRC Schedules (NRCS) and that procedures are established for preparing schedules for new and unscheduled electronic records systems. (8)

## Creation of Electronic Records (E)

### Records Created at All Staff Levels (1)

This part applies to electronic records generated or stored by staff at all levels, such as individual staff members, system operators, and computer programmers. The equipment used to generate or store these records can be personal computers, word processors, minicomputers, or mainframe computers. The staff who create electronic information must determine whether the information is official record material that must be disposed of only under an approved records disposition schedule, or nonrecord material that can be disposed of after it has served its purpose, and manage the information accordingly.

### Records Status of Electronic Data (2)

Electronic data can be categorized as either record or nonrecord. The record status of electronic data is determined by the same criteria employed for records generated in paper format (see Part I (E) of this handbook).

### Examples of Record and Nonrecord Electronic Material (3)

The following examples of record and nonrecord electronic data are provided to assist in distinguishing between the two types of information:

- Record material in electronic form includes—(a)
  - Informational material that falls under the definition of “records” that is maintained only in electronic format and never produced in hard copy (i)
  - Drafts of record material, including working documents, that have not yet been produced in hard copy (ii)
  - Electronic information systems that support NRC programs and management functions, regardless of whether all or a portion of the information is also maintained in hard copy (iii)

## **Creation of Electronic Records (E) (continued)**

### **Examples of Record and Nonrecord Electronic Material (3) (continued)**

- Electronic mail that concerns agency business or documents agency organization, functions, policies, decisions, procedures, operations, or other activities of the Government (iv)
- Electronic mail messages that concern statements of policy, rationale for a decision, sense of direction, or guidance above and beyond that documented in the official files (v)
- Electronic information that constitutes early versions of record material that differ substantively from the final version (vi)
- Extracted data from electronic information systems maintained in electronic format for conducting studies and statistical analyses (vii)
- Any electronic information file that contains personal information on individuals that is retrieved by a unique personal identifier such as a name or an assigned number. A file of this nature would be subject to the Privacy Act and must be included in the NRC Systems of Records published in the Federal Register (viii)
- Administrative databases maintained by staff that contain information derived from hard copy that supports administrative activities of the office (ix)
- Nonrecord material in electronic form includes—(b)
  - Informational material that is maintained electronically on word processing diskettes and similar magnetic media, has been produced in hard copy form for recordkeeping purposes, and is retained in electronic form only to facilitate updating or revision of the material at a later date (i)
  - Electronic copies of informational material that are duplicates or exact copies of the record or nonrecord material retained on an electronic storage medium (ii)
  - Electronic mail messages and attached files that consist of extra copies of documents kept only for convenience of reference (iii)

## Creation of Electronic Records (E) (continued)

### Examples of Record and Nonrecord Electronic Material (3) (continued)

- Working papers and personal notes in electronic form that have no record value because they are meaningless to persons other than the author; provide no rationale, sense of direction, or guidance above and beyond that documented in official files; and are generally used only by the author to facilitate the development and completion of papers for approval by appropriate officials (iv)
- Miscellaneous informal electronic mail messages from an individual to other individuals in the agency that do not relate to agency business (v)

### Disposition of Record Material (4)

Electronic records can only be destroyed under approved records disposition schedules. Because electronic records can be created or destroyed so easily, increasing the chance of information loss, extra care must be taken with these records. The disposition of the information must be determined before the records are created to ensure that appropriate identifiers for storage and retrieval are used and to ensure their appropriate preservation and ultimate disposition. The disposition instructions for electronic records are described in NUREG-0910. If unscheduled, the information contained in electronic records systems, including those operated for the Government by a contractor, must be reviewed for disposition scheduling as soon as possible, but no later than 1 year after the system becomes operational.

### Disposition of Nonrecord Material (5)

Nonrecord material can be destroyed without reference to the disposition schedules approved by the Archivist of the United States. However, many types of electronic nonrecord material are scheduled in the NARA GRS for clarity. (See GRS 20, "Electronic Records," and GRS 23, "Records Common to All Offices," listed in NUREG-0910.) Draft documents and transient data created, stored, or transmitted electronically are not to be used for official record purposes without a specific records disposition schedule and approval by the NRC Records Officer, who is the Chief, Information and Records Management Branch (IRMB), IRM.

## **Creation of Electronic Records (E) (continued)**

### **Official Record Copy of Text Documents Retained Electronically (6)**

Electronic records systems that maintain the official file copy of text documents on electronic media must meet the following minimum requirements and provide—(a)

- A method for all authorized users of the system to retrieve desired documents, such as an indexing or a text search system (i)
- An appropriate level of security to ensure integrity of the documents (ii)
- A standard interchange format, when necessary, to permit the exchange of documents on electronic media between agency components using different software and operating systems and the conversion or migration of documents on electronic media from one system to another (iii)
- For the disposition of the documents including, when necessary, the requirements for transferring permanent records to NARA (see 36 CFR 1228.188) (iv)

Electronic records systems that maintain the official file copy of text documents on electronic media must identify each document sufficiently to enable authorized personnel to retrieve, protect, and carry out the disposition of documents in the system. Appropriate identifying information for each document maintained on the electronic media may include office of origin, file code, key words for retrieval, addressee, signer, author, date, authorized disposition, and security classification, if needed. Offices must ensure that records maintained in these systems can be correlated with records on paper, microform, or other media. (b)

All electronic records systems containing the official file copy of text documents must have the prior written approval of the NRC Records Officer, who is the Chief, Information and Records Management Branch, IRM, in order to ensure that the records are scheduled for disposition and that the information is preserved accordingly. (c)

### **Creation of Data Files (7)**

For electronic records systems that produce, manipulate, or store data files, disposition instructions for the data must be incorporated into the system's design. (a)



## Creation of Electronic Records (E) (continued)

### Creation of Data Files (7) (continued)

Office staff with lead responsibility for the development of an electronic records system must ensure that the system has a records disposition schedule as required in Section (C)(2)(b) of this part or initiate the scheduling process according to the procedures specified in Part II of this handbook. (b)

Office staff with lead responsibility for the system must maintain adequate and up-to-date technical documentation for each electronic records system that produces, manipulates, or stores data files. The staff member for each office must maintain the following minimum documentation: (c)

- A narrative description of the system. (i)
- Physical and technical characteristics of the records, including—(ii)
  - A records layout that describes each field, including its name, size, and starting or relative position (a)
  - A description of the form of the data such as alphabetic, zoned decimal, packed decimal, or numeric (b)
  - A data dictionary or the equivalent information associated with a database management system, including a description of the relationship between data elements in databases (c)
- Any other technical information needed to read or process the records. (iii)

## Standards for Maintaining Electronic Records (F)

### Maintenance Throughout the Life Cycle (1)

An electronic record must be maintained on the appropriate medium and system to ensure protection and availability throughout its life cycle and to—

- Permit easy and timely retrieval (a)
- Facilitate distinction between record and nonrecord material (b)

## **Standards for Maintaining Electronic Records (F) (continued)**

### **Maintenance Throughout the Life Cycle (1) (continued)**

- Retain the records in a usable format until their authorized disposition (c)
- When appropriate, meet the requirements for retiring permanent records to NARA (d)

### **Selecting the Storage Medium (2)**

The following factors must be considered before selecting a storage medium or converting from one medium to another:

- The authorized life of the records as determined during the scheduling process (a)
- The maintenance necessary to retain the records (b)
- The cost of storing and retrieving the records (c)
- The records density (d)
- The access time needed to retrieve stored records (e)
- The portability of the medium that runs on equipment offered by multiple manufacturers (f)
- Whether the medium meets current applicable Federal Information Processing Standards (FIPSS) (g)

### **The Use of Floppy Disks (3)**

The use of floppy disks should be avoided for the exclusive long-term storage of permanent or unscheduled electronic records.

### **Accessibility of Records (4)**

Material stored on diskettes, removable disks, or tapes must be accessible to all authorized users by means of standard external labeling.

### **Protection From Loss (5)**

Electronic information must be protected from deterioration or from loss as a result of changing technology by converting it to a storage

## **Standards for Maintaining Electronic Records (F) (continued)**

### **Protection From Loss (5) (continued)**

medium compatible with the agency's hardware and software. Before converting electronic information to a different medium, it must be determined whether the authorized disposition of the electronic records can be implemented after conversion.

### **Backup Copies of Electronic Records (6)**

Electronic records must be backed up regularly to safeguard against the loss of information as a result of equipment malfunctions or human error. (a)

Backup copies of permanent or unscheduled records must be maintained in a storage area separate from that for the original records. (b)

Backup tapes to large electronic records systems that are considered vital to NRC program functions, significant to program operations, or whose data would be extremely costly to replace must be periodically transferred by the originating office to IRMB, IRM, for storage at the NRC Archival Facility. (c)

### **Maintaining and Testing Magnetic Computer Tapes (7)**

Magnetic computer tapes used to store electronic records that are unscheduled or scheduled for permanent retention must be tested no more than 6 months before their use. The test is to verify that the tape is free of permanent errors. (a)

The storage and test areas for computer magnetic tapes containing permanent and unscheduled records must be maintained at the following temperatures and humidity: (b)

- Constant temperature — 62 to 68 degrees (i)
- Constant relative humidity — 35 to 45 percent (ii)

All tapes containing unscheduled and permanent records must be rewound under controlled tension every 3-1/2 years (c)

## **Standards for Maintaining Electronic Records (F) (continued)**

### **Maintaining and Testing Magnetic Computer Tapes (7) (continued)**

A statistical sample of all reels of magnetic computer tapes containing permanent and unscheduled records must be read annually to identify any loss of data and to discover and correct the causes of data loss. In tape libraries with 1,800 or fewer reels, a 20-percent sample or a sample size of 50 reels, whichever is larger, should be read. In tape libraries with more than 1,800 reels, a sample of 384 reels should be read. Tapes with 10 or more errors must be replaced and, when possible, lost data must be restored. All other tapes that might have been affected by the same cause, that is, tapes of poor quality or tapes experiencing high usage, poor environment, or improper handling, must be read and corrected, as appropriate. (d)

Permanent or unscheduled data on magnetic tapes must be copied onto tested and verified new tapes before the tapes are 10 years old. (e)

The contents of magnetic tapes used to store permanent or unscheduled electronic records must be identified by an external tape label or an equivalent automated tape management system. The label or system must provide unique identification for each reel, including the name of the organizational unit responsible for the data, the system title, and the security classification, if any. (f)

The following information must be maintained for each reel used to store permanent or unscheduled electronic records: (g)

- The file title (i)
- The dates of creation (ii)
- The dates of coverage (iii)
- The recording density (iv)
- The type of internal labels (v)
- The volume serial number, if applicable (vi)
- The number of tracks (vii)
- The character code and software dependency (viii)
- The information about block size and the reel sequence number if the file is part of a multireel set (ix)

## Standards for Maintaining Electronic Records (F) (continued)

### Maintaining and Testing Magnetic Computer Tapes (7) (continued)

For numeric data files, include the record format and logical record length, the data set name and sequence, if applicable, and the number of records for each data set. (h)

Smoking and eating are prohibited in magnetic computer tape storage libraries and in test or evaluation areas that contain permanent or unscheduled records. (i)

### Maintenance of Diskettes, Removable Disks, and Other Direct Access Storage Media (8)

Users must exercise reasonable care in handling the various direct access storage media consistent with the manufacturer's guidance and recommendations. This care includes—(a)

- Proper storage equipment to avoid damage (i)
- Keeping media away from magnets, water, and other sources of damage (ii)
- Exercising common sense to ensure protection, for example, not handling the magnetic surfaces, not writing on floppy disks, and not stacking other items on top of the electronic media (iii)

External labels for diskettes or removable disks used when processing or temporarily storing permanent or unscheduled records must include the following information: (b)

- The name of the organizational unit responsible for the records (i)
- A descriptive title of the contents (ii)
- The dates of creation (iii)
- The security classification, if applicable (iv)
- The identification of the software and hardware used (v)

## **Standards for Maintaining Electronic Records (F) (continued)**

### **Retention of Inactive Electronic Records (9)**

Electronic records and their related special-purpose programs and documentation must be retained for the period prescribed in the approved schedules. Unscheduled records must be retained until they are scheduled and their destruction is authorized. This section describes the procedures and policies for retaining inactive electronic records until their authorized ultimate disposition.

- Inactive electronic records must be retained for the period authorized by approved records disposition schedules. (a)
- Electronic records that are not covered by the NRC Schedule or the GRS must be retained, along with related programming and documentation, until a schedule is prepared and the disposition is authorized by NARA. (b)
- Inactive electronic records must be retained in an area that meets the requirements set forth in Section (E)(7) of this part. (c)
- Offices retaining electronic records in an environment other than the NRC Archival Facility are responsible for the required testing and periodic rewinding of the media. (d)
- Offices that use contractors to retain electronic records on their behalf must ensure that the records are retained in accordance with this handbook. (e)
- Inactive records should be retired to approved storage as soon as practical. (f)
- Offices are encouraged to use the NRC Archival Facility when practical. The facility will be responsible for testing and rewinding electronic media left in its care. (g)
- The IRMB, IRM, will coordinate the transfer of electronic records to the Federal Records Center. (h)
- The storage media containing permanent electronic records must meet the criteria of this handbook. (i)
- Electronic records of short-term value may be retained and destroyed in the originating office without being transferred to IRMB. (j)

## Records Disposition Schedules for Electronic Records (G)

Electronic records can only be disposed of by applying an approved NRC records disposition schedule or a GRS listed in NUREG-0910. (1)

Unscheduled electronic records, along with related programs, documentation, and indexes, must be retained until their disposition is approved by NARA. (2)

The information in electronic records systems, including those systems operated for the Government by a contractor, must be scheduled for disposition as soon as possible but no later than 1 year after the system becomes operational. (3)

Schedules for new or unscheduled electronic records are established as described in Part II of this handbook. The scheduling process is initiated by the individual or the organization responsible for developing the electronic records or system by employing the following procedures: (4)

- Determine if a records disposition schedule already exists for the electronic records by referencing the NRC Schedule and the GRS in NUREG-0910. Assistance can be provided by each office's Records Liaison Officer (RLO), or by contacting IRMB. (a)
- Electronic records that are not already scheduled for disposition must be scheduled by the employee or organization responsible for creating the records by submitting NRC Form 331, "Records Retention and Disposition Authority" (Exhibit 19), along with NARA Form 14028, "Information System Description" (Exhibit 29), through the office RLO to the Chief, IRMB, IRM. IRMB will prepare the SF 115, "Request for Records Disposition Authority" (Exhibit 30), and submit it to NARA for approval. The retention period will usually follow that period allowed for the hard copy counterpart. Administrative records are destroyed after 2 years, program records are destroyed after 10 years, and highly significant program records are retained permanently. (b)

IRMB will annually review all electronic records systems for conformance to established agency procedures, standards, and policies as part of the periodic reviews required by 44 U.S.C. 3506. The review should determine whether the records have been properly identified and described and whether the schedule descriptions and

## **Records Disposition Schedules for Electronic Records (G) (continued)**

retention periods reflect the current informational content and use. If not, or if substantive changes have been made in the structure, design, codes, purposes, or uses of the system, IRMB will submit an SF 115 (Exhibit 30) to NARA. (5)

## **Disposing of Electronic Records (H)**

### **Sensitive, Proprietary, and National Security Information (1)**

Electronic records authorized for destruction in an approved records disposition schedule must be disposed of in a manner that ensures protection of any sensitive, proprietary, or National Security Information. Magnetic recording media previously used for electronic records containing sensitive, proprietary, or National Security Information are not to be reused if the previously recorded information can be compromised in any way by reuse.

### **Unscheduled Electronic Records (2)**

Unscheduled electronic records must be retained until disposal is authorized by the Archivist of the United States.

## **Archival Records in Electronic Format (I)**

### **Requirements for Permanent Records**

Permanent electronic records that are transferred to the National Archives must be on open reel magnetic tape or tape cartridges that meet the NARA requirements found in 36 CFR 1228.188, "Machine Readable Records," or on Compact Disc-Read Only Memory (CD-ROM) or other optical disks that meet the requirements of NARA Bulletin 94-4, "Use of Compact Disc-Read Only Memory (CD-ROM) Medium to Transfer Records to the National Archives." The diskette is not an acceptable medium for storing permanent records.

- Open reel magnetic tape must be on one-half inch, seven-track or nine-track tape reels recorded at 800, 1,600, or 6,250 bpi. (1)
- Tape cartridges must be 18-track, 3,480-class cartridges recorded at 37,871 bpi. (2)
- The data must be written in ASCII or EBCDIC with all extraneous control characters removed from the data (except record length indicators for variable length records or marks designating a



## **Archival Records in Electronic Format (I) (continued)**

### **Requirements for Permanent Records (continued)**

datum, word, field, block, or file), blocked at not higher than 32,760 bytes per block. (3)

- The open reel magnetic tapes or the tape cartridges on which the data are recorded must be new or recertified tapes that have been passed over a tape cleaner before being used and must be rewound under controlled tension (see 36 CFR Part 1234, Chapter XII). (4)
- Optical media that include fielded data files or text files used for the storage of permanent records must meet the following requirements: (5)
  - Conform to the International Standards Organization (ISO) 9660 standard (a)
  - Comply with the American Standard Code for Information Interchange (ASCII) standard as defined in the Federal Information Processing Standard 1-2 (November 14, 1984) (b)
  - Not dependent on control characters or codes that are not defined in the ASCII character set (c)
  - Not compressed unless the software to decompress the files is provided (d)
  - Capable of being individually addressed (e)
  - Comply with the documentation requirements of 36 CFR 1228.188 (f)
- Electronic records scheduled for permanent retention that are maintained on direct access storage devices must be converted to open reel magnetic tape, magnetic tape cartridges, or CD-ROM or other optical disks that meet the archival standards. (6)
- The originating office generates and transfers the records to IRMB at the time specified in the applicable records disposition schedule. (7)
- RLOs are to contact the IRMB to initiate the transfer of electronic records in their custody to the Archival Facility and/or to NARA. (8)

## **Acceptance of Electronic Records by the Courts (J)**

Electronic records may be admitted as evidence in Federal courts for use in court proceedings if trustworthiness is established by thoroughly documenting the operation and controls of the recordkeeping system. (See Federal Rules of Evidence 803(6).) The following procedures should be implemented to enhance the legal admissibility of electronic records:

- System documentation should describe the source of the information, how the electronic records are created and stored, and the standard retrieval and reporting procedure. (1)
- System documentation should substantiate that security procedures in effect prevent unauthorized modification or deletion of a record and ensure system protection against problems such as power interruptions. (2)
- System documentation should identify the electronic media where records are stored throughout their life cycle, the maximum time span that records remain on each medium, and the NARA-approved disposition of all records. (3)
- Procedures pertaining to electronic records systems are to be coordinated with the Office of the General Counsel (OGC), Office of Information Resources Management (IRM) senior staff, and the records management staff to ensure legal admissibility of the records. (4)

## **Security of Electronic Records (K)**

Security of electronic records must be ensured by adhering to the following procedures:

- Only authorized personnel are to have access to the electronic records. (1)
- Backup copies are to be made routinely in order to protect against information loss. (2)
- Appropriate personnel should be trained to safeguard sensitive or classified electronic records. (3)
- System developers and users are to minimize the risk of unauthorized alteration or erasure by protecting the work area, equipment, the password, files, and data from unauthorized access and use. (4)

## Security of Electronic Records (K) (continued)

- The methods to ensure electronic records security are to be addressed in the computer system security plans prepared pursuant to the Computer Security Act of 1987. (See 40 U.S.C. 759 note.) (5)

## Electronic Mail (L)

Electronic mail carries record status if the recorded data meets the following criteria for a Federal record: (1)

- The recorded data is made or received by an agency of the United States Government under Federal law or in connection with the transaction of agency business. (a)
- The recorded data is preserved or appropriate for preservation as evidence of the agency's organization and activities or because of the value of the information they contain. (b)

Agencies are required to make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency that are designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities. See the NARA regulation, 36 CFR Part 1220, Subpart B, "Agency Records Management Programs," which requires that a record of electronic mail be generated and filed with the appropriate record collection when the information it contains is record material and adds significantly to the meaning or is required for a thorough understanding of the current documentation. (2)

Electronic mail generally consists of miscellaneous informal messages from one individual to another and are usually considered nonrecord. Refer to the examples of record and nonrecord electronic material contained in Section (E)(3) of this part to distinguish between record and nonrecord electronic mail communications. (3)

Electronic mail comprised of record material can be destroyed after a hard copy is produced for recordkeeping purposes as specified by GRS 23-2, "Word Processing Files" (NUREG-0910). Electronic mail that is nonrecord material can be destroyed when it is no longer needed. (4)

## **Glossary**

**Agency Records Under the Freedom of Information Act (FOIA).** In 10 CFR 9.13, “record” is defined for FOIA purposes as any book, paper, map, photograph, brochure, punch card, magnetic tape, paper tape, sound recording, pamphlet, slide, motion picture, or other documentary material, regardless of form or characteristics, made by, in the possession of, and under the control of the NRC under Federal law or in connection with the transaction of public business as evidence of NRC organization, functions, policies, decisions, procedures, operations, programs, or other activities. “Records” do not include objects or articles such as structures, furniture, tangible exhibits or models, or vehicles and equipment. For more information regarding agency records under the FOIA, refer to Management Directive 3.1, “Freedom of Information Act.”

**Agency Records Under the Privacy Act.** In 10 CFR 9.51(c), “record” is defined for Privacy Act purposes as any item, collection, or grouping of information about an individual that is maintained by the NRC, including but not limited to the individual’s education, financial transactions, medical history, employment history, or criminal history, and that contains the individual’s name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a fingerprint, a voiceprint, or a photograph. For more information regarding agency records under the Privacy Act, refer to Management Directive 3.2, “Privacy Act.”

**Disposal Authority.** The legal authorization granted by the Archivist of the United States, or for certain series the Comptroller General, to retain records for specific periods.

**Disposition.** The actions taken regarding records that include destruction of the records, transfer of the records to a records holding area or a records center for temporary storage, or transfer of the records to the National Archives for preservation.

## Glossary (continued)

**Disposition Schedule.** A document governing, on a continuing basis, the mandatory disposition of recurring records series of an organization or agency. The "NRC Comprehensive Records Disposition Schedule," NUREG-0910, which incorporates the General Records Schedule, was approved by the Archivist of the United States as the proper disposition authority for NRC records.

**Federal Official.** Any individual employed by the Federal Government.

**Files Cutoff.** The segregation of active from inactive files.

**Maintenance.** The daily use and protection of records.

**Nonrecord Material.** Material not usually included in the definition of records, such as unofficial copies of documents that are kept only for convenience or reference, stocks of publications and processed documents, and library or museum material intended solely for reference or exhibition.

**Official Files or Official Records.** All books, papers, maps, photographs, machine-readable material, or other documentary materials, regardless of physical form or characteristics, made or received by any agency of the United States Government under Federal law or in connection with the transaction of public business and that are preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data contained in these materials. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and processed documents are not included in the definition of the term "official records" (36 CFR Part 1220).

**Official File Stations.** Formally designated organizational locations where official record copies of correspondence and other documents are maintained.

## Glossary (continued)

**Official Record Copy.** The final, initialed concurrence copy of outgoing and internal correspondence, the original of incoming correspondence, and the original or action copies of reports, completed forms, maps, photographs, and other documents. To ensure that the Official Record Copy is adequately safeguarded for proper disposition, the following policies are followed:

- **Stages of a Document.** A document goes through many stages before a final version is generated. The cycle of draft, comment, and revision continues until a document that represents the agency's position is complete and concurred in. Only this final edition is the Official Record Copy. The drafts and comments represent working papers that can be destroyed upon completion of the concurred-in final document. (a)
- **Ensuring Adequate Documentation.** To ensure adequate documentation, certain background material and drafts are to be filed with the Official Record Copy when the material adds significantly to the meaning of the record or is required for a thorough understanding of the record. Also, in specific instances, draft materials must be filed with the official records, for example, draft environmental statements and draft safety evaluation reports are filed in the NRC File Center in accordance with Office of Nuclear Reactor Regulation (NRR) Office Letters 102 and 106. (b)
- **Concurrence Copy.** The final version of the concurrence copy is designated the Official Record Copy. The originator of the correspondence or the originating office is responsible for maintaining the record under the approved Comprehensive Records Disposition Schedule (CRDS) (NUREG-0910). (c)
- **Internal Correspondence.** Internal correspondence generates two record copies: the signed original and the concurrence copy. Each document is maintained according to the applicable records schedule. (d)

## Glossary (continued)

- **Preservation of Facsimile Transmissions as Official Record Copies.** Most facsimile transmissions received by the NRC are on light- and heat-sensitive thermal papers. Because the images on these papers may begin to deteriorate in as few as 6 months, all thermal paper facsimiles that are to be maintained as official NRC records must be copied on a plain paper copier at the time of receipt and maintained as the Official Record Copy. (e)

**Personal Papers.** Documentary materials belonging to an individual that are not used to conduct agency business. They relate solely to an individual's personal and private affairs or are used exclusively for that individual's convenience. They may refer to or comment on the subject matter of agency business, provided they are not used to conduct that business. Personal papers must be clearly designated as such and maintained separately from records.

**Vital Records.** Those records essential for maintaining the continuity of Government activities during a national emergency and for protecting the rights and interests of individual citizens and their Government (36 CFR Part 1236).

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NRC Records Management Program  
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Exhibit 1

NRC Form 306, "Files Maintenance and Disposition Plan"

Page 1 of

NRC FORM 306 (11-82) NRCMD 3.53			U.S. NUCLEAR REGULATORY COMMISSION	
FILES MAINTENANCE AND DISPOSITION PLAN				
<b>PURPOSE:</b> File Custodians prepare Files Maintenance and Disposition Plans for each location of official files (Official File Station) and update plans when the File Custodian or the series of records changes.				
<b>INSTRUCTIONS:</b> <b>FILE CUSTODIAN:</b> Prepare in triplicate. Forward the original and two copies to the Office Records Liaison Officer (RLO) for review and approval. <b>RECORDS LIAISON OFFICER:</b> After approval, sign in Block 3B, keep one copy, send one copy to the NRC Records Officer, and return the signed original to the File Custodian.				
1. CONTACT (Name of File Custodian)			2. ORGANIZATION (Office/Division/Branch)	
3. RECORDS LIAISON OFFICER			4. LOCATION OF FILES	
A. TYPED NAME		B. SIGNATURE	C. DATE	D. ROOM
B. FILE PLAN				
A. ITEM NO.	B. TITLE OR DESCRIPTION OF RECORDS SERIES		C. DISPOSITION (Insert the applicable records disposition schedule number from NUREG-0810, Rev. 2, and the complete disposition instructions. If schedule cannot be found, enter "None.")	
1.	Reading Files		NRC 1-1.5. Cut off at close of fiscal year. Destroy when 1 year old or when reference value has been exhausted, whichever is sooner.	
2.	Travel Files		NRCS 1-1.1. Cut off at close of fiscal year. Destroy when 1 year old.	
3.	Time and Attendance Source Records		GRS 2-7. Destroy after GAO audit or when 6 years old, whichever is sooner.	
4.	Office Administrative Files		GRS 23-1. Destroy when 2 years old, or when no longer needed, whichever is sooner.	

NRC FORM 306 (11-82)

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## Exhibit 2

### NRC Form 306A, “Files Maintenance and Disposition Plan (Continuation)”

NRC FORM 306A (11-92) NRCMD 3.13		U.S. NUCLEAR REGULATORY COMMISSION	FILE CUSTODIAN
FILES MAINTENANCE AND DISPOSITION PLAN (Continuation)			
A ITEM NO.	B. TITLE OR DESCRIPTION OF RECORDS SERIES	C. DISPOSITION	

NRC FORM 306A (11-92)

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# Exhibit 3

## NRC Form 35, "Records Transfer"

Page 1 of \_\_\_\_\_

NRC FORM 35 (11-83) NRCMD 3.53		U. S. NUCLEAR REGULATORY COMMISSION	
<b>RECORDS TRANSFER</b>			
<b>INFORMATION AND RECORDS MANAGEMENT BRANCH COMPLETES BLOCKS 1-10, 22, AND 27-31</b>			
1. JOB NUMBER	2. FRC ACCESSION NUMBER	3. DATE JOB RECEIVED	
4. VOLUME IN CUBIC FEET	5. LOCATION NUMBER(S)	6. DATE ELIGIBLE FOR DESTRUCTION	
7. DATE ELIGIBLE FOR TRANSFER TO NARA	8. ORIGINATING OFFICE CODE	9. FACILITY CODE	
		AF	AF-VS
		AF-V3	FRC
10. COMMENTS			
<b>TRANSFERRING OFFICE COMPLETES BLOCKS 11-21 AND 23-26</b>			
11. ORIGINATING OFFICE (Office / Division / Branch)	12. FILE CUSTODIAN (Name / Telephone)	13. LOCATION OF RECORDS (Building / Room)	
14. TITLE OF RECORD SERIES (Refer to NUREG-0910) (Complete a separate form for each series)		15. RECORD SCHEDULE NUMBER (Refer to NUREG-0910)	
16. CLASSIFICATION OF RECORDS		17. RECORD MEDIUM	
UNCLASSIFIED	PAPER	AUDIOVISUAL *	
OTHER (Specify below)	MICROFORM *	MACHINE READABLE *	
HIGHEST CLASSIFICATION	* PROVIDE SPECIFIC MEDIUM		
18. TOTAL NUMBER OF CONTAINERS	19. TYPE OF CONTAINER(S) (NOTE: Paper records must be retired in 1-cubic-foot record center boxes)		
	RECORD CENTER BOX		
	OTHER (Specify)		
20. GENERAL DESCRIPTION OF RECORDS (Provide a general description of the records using terms commonly used by the staff familiar with the records.)			

NRC FORM 35 (11-83)

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## Exhibit 3 (continued)

Page 2 of \_\_\_\_\_

DETAILED INVENTORY OF RECORDS BEING TRANSFERRED			
For each individual folder, binder, report, tape, etc., provide sufficient description to permit retrieval. Provide all identifying numbers that apply to the material (e.g., docket number, license number, case number, contract number, form number, etc.). Provide the date span of each item as well as any date needed to apply the disposition instructions (e.g., license terminated 01/31/90, case closed 01/31/90, etc.). Double space between items in the same container. Triple space when beginning a new container. If more space is required, use NRC form 35A, "Records Transfer Continuation."			
21. CONTAINER NUMBER	22. LOCATION NUMBER	23. RECORDS DESCRIPTION	24. DATE SPAN (Months / Years)
25. RECORDS LIAISON OFFICER - Typed Name and Signature			26. DATE
27. REVIEWING ANALYST - Signature			28. DATE

DISPOSITION OF RECORDS		
29. DATE TRANSFERRED TO FRC	30. DATE DESTROYED	31. DATE TRANSFERRED TO NARA

NRC FORM 35 (11-93) PRINTED ON RECYCLED PAPER

Approved: September 17, 1992  
(Revised: June 15, 1995)

## Exhibit 4

## NRC Form 35A, "Records Transfer (Continuation)"

NRC FORM 35A (8-82) NRCMD 3.33	Page _____ of _____ U.S. NUCLEAR REGULATORY COMMISSION		
<h2 style="margin: 0;">RECORDS TRANSFER</h2> <h3 style="margin: 0;">Continuation</h3>			
<b>DETAILED INVENTORY OF RECORDS BEING TRANSFERRED</b> For each individual folder, binder, report, tape, etc., provide sufficient description to permit retrieval. Provide all identifying numbers that apply to the material (e.g., docket number, license number, case number, contract number, form number, etc.). Provide the date span of each item as well as any date needed to apply the disposition instructions (e.g., license terminated 01/31/90, case closed 01/31/90, etc.). Double space between items in the same container. Triple space when beginning a new container.			
<b>21. CONTAINER NUMBER</b>	<b>22. LOCATION NUMBER</b>	<b>23. RECORDS DESCRIPTION</b>	<b>24. DATE SPAN</b> (Month/Year)

NRC FORM 35A (8-82)
PRINTED ON RECYCLED PAPER

Volume 3, Part 2 – Records Management  
NRC Records Management Program  
Handbook 3.53 Exhibits

## Exhibit 5


### NRC Form 30, "Request for Administrative Services"

<b>NRC FORM 30</b> (5-94)		<b>U.S. NUCLEAR REGULATORY COMMISSION</b>		<b>1. DATE OF REQUEST</b>		<b>2. DATE DUE, if applicable</b>	
<b>REQUEST FOR ADMINISTRATIVE SERVICES</b>  FOR HEADQUARTERS: MAIL TO THE APPROPRIATE MAIL STOP ON BACK				<b>3. REQUEST NUMBER (Leave blank)</b>			
<b>4. TYPE OF SERVICE</b>				<b>5. PERSONAL PROPERTY APPROVAL</b>			
BUILDING ALTERATIONS AND SERVICES COMPOSITION COPYING EDITING PHOTOGRAPHY/AUDIOVISUAL PRINTING AND DISTRIBUTION		PUBLISHING NUREG SMALL PURCHASES, PROPERTY, AND LABOR SERVICES SUPPLIES WORD PROCESSING OTHER <i>Specify</i>		I certify that personal property assets within the Office/Division have been carefully screened for excess, are currently fully utilized, and the additional requested items are absolutely essential to work performance and will be used only for official purposes. <b>6. PROPERTY CUSTODIAN - SIGNATURE</b>  <b>7. DIVISION DIRECTOR/DEPUTY - SIGNATURE</b>			
<b>7. REQUESTER</b>		<b>8. OFFICE</b>		<b>6. SENSITIVITY</b>			
<b>9. TELEPHONE NUMBER</b>		<b>10. FAX NUMBER</b>		<b>11. MAIL STOP</b>		<b>12. E-MAIL ID.</b>	
<b>13. SPECIAL INSTRUCTIONS</b> <i>INCLUDE TITLE, DISTRIBUTION, PRINTING SPECIFICATIONS, INSTRUCTIONS, STOCK NUMBERS, JUSTIFICATION, QUANTITIES, AND UNITS WHEN APPLICABLE.</i>		<b>14. FUNDING INFORMATION</b>		<b>15. FUND CERTIFIED AVAILABLE BY SIGNATURE - CERTIFYING OFFICIAL</b>			
<b>16. FUND CERTIFIED AVAILABLE BY SIGNATURE - CERTIFYING OFFICIAL</b>		<b>17. DATE</b>		<b>18. DATE</b>			
<b>FOR PROCESSING USE ONLY (LEAVE THIS SECTION BLANK)</b>							
<b>19. REQUEST APPROVED - SIGNATURE</b>		<b>20. DATE</b>		<b>21. REQUESTING OFFICER - SIGNATURE</b>		<b>22. DATE</b>	
<b>17. OFFICE OF ADMINISTRATION PROCESSING</b>							
<b>ACTION</b>	<b>SIGNATURE</b>	<b>DATE</b>	<b>ACTION</b>	<b>SIGNATURE</b>	<b>DATE</b>		
<b>A. POSTED</b>			<b>C. DELIVERED</b>				
<b>B. FILLED</b>			<b>D. COMPLETED</b>				
The material and/or services itemized above have been received in the quantity and quality specified, except as otherwise noted.				<b>23. SIGNATURE - RECIPIENT</b>		<b>24. DATE</b>	

**Exhibit 5 (continued)**

<u>TYPE OF SERVICE</u>	<u>MAIL STOP</u>	<u>TYPE OF SERVICE</u>	<u>MAIL STOP</u>
BUILDING ALTERATIONS AND SERVICES	T-7 D24	SMALL PURCHASES, PROPERTY, AND LABOR SERVICES	T-7 D27
COMPOSITION	T-6 E7	PUBLISHING NUREGs	T-6 E7
COPYING	O-P1 22	SUPPLIES	WHSE
EDITING	T-6 E7	WORD PROCESSING	T-6 E7
PHOTOGRAPHY/ AUDIOVISUAL	T-6 E7	OTHER	O-2 B7
PRINTING/DISTRIBUTION	O-P1 22		

Exhibit 6  
Optional Form 21, "Cross-Reference"

<b>CROSS-REFERENCE</b> (Name, number, or subject under which this form is filed)			
<b>IDENTIFICATION OF RECORD</b>	<b>DATE</b>		
	<b>TO</b>		
	<b>FROM</b>		
	<b>BRIEF SUMMARY OF CONTENTS</b>		
<b>FILED</b> (Name, number, or subject under which the document itself is filed)			
<small>Optional Form 21 Feb. 1962 GSA Circular 200</small>			<b>CROSS-REFERENCE</b>

## Exhibit 7

## NRC Form 22, "Charge-Out Record"

**NRC FORM 22**  
**(3-81)**

**U.S. NUCLEAR REGULATORY COMMISSION**

### CHARGE-OUT RECORD

[illegible]

**NRC FORM 22**  
**(3-81)**

GPO 876 036



## Exhibit 8

### NRC Form 513, "Certification of Copy of Official Record"



UNITED STATES  
NUCLEAR REGULATORY COMMISSION  
WASHINGTON, D. C. 20555

#### CERTIFICATION OF COPY OF OFFICIAL RECORD

##### Part 1

To be completed by the Records Liaison Officer

I hereby certify that each document listed below is from the official records of this office, and that each record is maintained by this office in the regular course of business.

<u>Document Date</u>	<u>Document Title</u>	<u>No. of Pages</u>
----------------------	-----------------------	---------------------

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature - Records Liaison Officer

\_\_\_\_\_  
Office/Division/Branch

##### Part 2

To be Completed by the Secretary/Assistant Secretary  
Office of the Secretary of the Commission

I hereby certify that I am delegated the authority to certify true copies of official NRC documents that include the document(s) listed above, and that each document enclosed is a true and correct copy of the official record that is maintained by the NRC in the regular course of its business.

\_\_\_\_\_  
Date

Signature -

☐ Secretary of the  
Commission

☐ Assistant Secretary  
of the Commission

Enclosure(s):  
As stated

NRC FORM 513  
(9-90)

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Exhibit 9

NRC Form 134, "Filing Equipment Request Analysis"

NRC FORM 134 (6-88)		U.S. NUCLEAR REGULATORY COMMISSION		DATE															
<b>FILING EQUIPMENT REQUEST ANALYSIS</b> (Filing Equipment - file cabinets, shelving, and book cases)																			
TO: NAME		FROM: NAME																	
OFFICE/DIVISION	MAIL CODE	Records and Reports Management Branch DISS/IRM/ARM		PHONE															
1. Requisition Number _____ is being returned disapproved because of insufficient justification of need and/or lack of the certification cited in Manual Chapter 5201, Part IV.																			
2. Reference NRC Manual Chapter 5201, Part IV, Item B, and take the prescribed prerequisite actions. Check One: <input type="checkbox"/> This equipment is no longer needed. (Return requisition to sender listed in "FROM" above.) <input type="checkbox"/> The prerequisite actions have been taken and the equipment is still needed. (Insert the certification required by Manual Chapter 5201, Part IV, Item E, on the requisition and have the head of the office sign.)																			
3. Provide the information requested below and return to the sender listed in "FROM" above. A separate sheet may be used to continue explanations, as appropriate.																			
a. Why doesn't the present branch/division/office file or reference center meet your needs?																			
b. Why doesn't the Nuclear Documents System (NUDOCS) meet your needs?																			
c. Can your requirement be met by the use of microform? <input type="checkbox"/> Yes <input type="checkbox"/> No (Explain below)																			
d. Justification: Describe in detail the need for the equipment.																			
e. Additional information describing the requirement. (All information must be provided.)																			
1. Linear feet of material to be accommodated: _____ linear feet.																			
2. Size of the material: <input type="checkbox"/> letter size; <input type="checkbox"/> legal size; other: _____																			
3. Type of material: <input type="checkbox"/> official records; <input type="checkbox"/> nonrecord																			
4. Nature of material (e.g., Administrative, Programmatic, Reference, Working Files): _____ (Document Types)																			
5. Type of Request: <input type="checkbox"/> For use at an Official File Station; <input type="checkbox"/> For use by individual only																			
6. Purpose of the material: _____																			
7. Requirement for the material (indicate prescribing policy, Manual Chapter, Regulation): _____																			
8. Source of the material: _____																			
9. Location of the Official Record: _____																			
10. Location of other duplicate copies: _____																			
11. Record Schedule covering this material: _____																			
12. Length of your requirement: _____																			
13. When does this material become inactive? _____																			
14. Present filing equipment:																			
<table border="1" style="width: 100%; border-collapse: collapse;"><thead><tr><th style="width: 33%;">TYPE</th><th style="width: 33%;">SIZE</th><th style="width: 33%;">QUANTITY</th></tr></thead><tbody><tr><td> </td><td> </td><td> </td></tr><tr><td> </td><td> </td><td> </td></tr><tr><td> </td><td> </td><td> </td></tr><tr><td> </td><td> </td><td> </td></tr></tbody></table>					TYPE	SIZE	QUANTITY												
TYPE	SIZE	QUANTITY																	
4. If the request is for mechanized or specialized file equipment, provide a copy of: <input type="checkbox"/> Cost/benefit statement, per Manual Chapter 5201, Part IV, C. <input type="checkbox"/> Certification required by Manual Chapter 5201, Part IV, E.																			
5. If the request is for filing cabinets, provide a copy of the file plan which governs the files to be stored in the requested equipment.																			

NRC FORM 134 (6-88)

## Exhibit 10

### NRC Form 355, "Report of Records/Nonrecords Disposal"

NRC FORM 355 (7-83) NRCMD 3.53		U. S. NUCLEAR REGULATORY COMMISSION		
<b>REPORT OF RECORDS/NONRECORDS DISPOSAL</b>				
FORWARD COMPLETED REPORT TO:		FROM: REPORTING OFFICE/DIVISION/BRANCH		
RECORDS LIAISON OFFICER (RLO)      MAIL STOP (Insert name of RLO for Reporting Office from reverse side of this form)		FILE CUSTODIAN OR STAFF MEMBER		
		LOCATION - BUILDING AND ROOM NUMBER		
<b>REMARKS:</b> Destruction of record and nonrecord material is to be reported to the Office Records Liaison Officer within 10 days of the destruction activity per NRC Management Directive 3.53. This information is used to prepare the Office's Annual Report of Records Holding and Disposition. Reference the conversion table below to determine volume in cubic feet.				
VOLUME DESTROYED (in cubic feet)		SERIES/DESCRIPTION	DATES OF RECORDS	DISPOSAL AUTHORITY (From NUREG-0910 for Record Material Only)
RECORD	NONRECORD			
<b>TOTAL VOLUME</b>		SIGNATURE - FILE CUSTODIAN/STAFF MEMBER		DATE
<b>CONVERSION TABLE</b>				
CONTAINER	VOLUME IN CUBIC FEET	CONTAINER	VOLUME IN CUBIC FEET	
Letter-size Filing Cabinet	1 1/2 cubic feet per drawer	15 inches of letter size material	1 cubic foot	
Legal-size Filing Cabinet	2 cubic feet per drawer	12 inches of legal size material	1 cubic foot	
W/F Lateral 30" wide (letter material)	2 cubic feet per drawer	Federal Records Center Containers	1 cubic foot per container	
Map Cases and Other Odd Sized Equipment - Multiply length x width x height and divide product by 1,728				

NRC FORM 355 (7-83)

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## **Exhibit 11**

### **Instructions for Preparing Records for Retirement to the NRC Archival Facility**

To ensure the preservation of long-term agency records and to provide for the timely destruction of temporary records, care must be taken in selecting and preparing official records for retirement to the NRC Archival Facility (AF). Additionally, records that are scheduled for ultimate transfer to the National Archives and records that are selected for transfer to a Federal Records Center must be prepared in accordance with Federal statutes and regulations before they are retired to the AF.

Organizations desiring to retire records to the AF must contact the Information and Records Management Branch (IRMB), Office of Information Resources Management (IRM), to request a site review of the material proposed for retirement. As necessary, IRMB will review the records at the office of origin to determine their true record value and retention requirements.

The container used to retire hard copy (paper) records to the AF is a cardboard carton, referred to as a records center box. Each records center box measures 14-3/4 inches by 12 inches by 9-1/2 inches and will hold 1 cubic foot of records. Records center boxes can be obtained by contacting IRMB. For environmentally sensitive records that cannot be stored or transported in cardboard records center boxes (e.g., computer tapes and disks, microform, etc.), IRMB will provide media containers constructed of 22-gauge steel with lockable lids and a foam lining.

The "Authorized Disposition" instructions defined in NUREG-0910, "NRC Comprehensive Records Disposition Schedule," must be followed when retiring records to the AF. For example, the "Authorized Disposition" instructions defined in NUREG-0910 for General Program Correspondence Files maintained at the division level and below (NRC Schedule Number I, Part 2, Item 1.b) specify that the files be cut off at the close of the fiscal year (FY), held in the originating office for 2 years, and then retired to the AF. The files will then be destroyed 10 years after the fiscal year cutoff. When boxing these records for retirement, only one fiscal year's records (October 1994 through September 1995, for example) should be retired as one job. The records for FY 96 (October 1995 through September 1996) will begin a new box and will be retired as a separate job.

## **Exhibit 11 (continued)**

### **General Instructions for Preparing Records for Retirement**

- Use only records center boxes for retiring hard copy records to the AF.
- All requests to retire records to the AF must be approved by IRMB before records center boxes or media containers will be supplied.
- **DO NOT** seal records center boxes with tape. The bottom of the box is self-sealed when records are inserted. The top flaps of the box will interlock to close the box.
- **DO NOT** write anything on the containers to be retired except the box numbers.
- **DO NOT** use paste-on labels on records center boxes.
- **DO NOT** pack different series of records in the same container.

### **Detailed Instructions for Preparing Records for Retirement to the NRC Archival Facility**

1. Estimate the number of records center boxes or media containers required to pack the records. To aid in estimating the number of containers required, the following guidelines should be used:

#### **Paper Records**

- Each records center box will hold 1 cubic foot of paper records
- Three thousand letter-sized sheets of paper equals 1 cubic foot of records
- Each full letter-size file drawer is equal to 1-1/2 cubic feet of records
- Each full legal-size file drawer is equal to 2 cubic feet of records
- Fifteen inches of letter-size files equals 1 cubic foot
- Twelve inches of legal-size files equals 1 cubic foot

#### **Computer Tapes, Disks, and Microform**

IRMB can provide media containers designed to accommodate—

- Twenty IBM 3480 (or equivalent) cartridges
- Forty IBM 3480 (or equivalent) cartridges

## **Exhibit 11 (continued)**

### **Computer Tapes, Disks, and Microform (continued)**

- Nine 10½-inch computer reel tapes
  - One 16-inch computer disk pack
  - Two boxes of 8-inch floppy disks
  - Four boxes of 5¼-inch floppy disks
  - Twenty boxes of 3½-inch floppy disks
  - Forty-eight 16mm microfilm cartridges
  - Twenty-eight 35mm microfilm cartridges
  - Any volume of 4¼-inch by 6¼-inch microfiche
2. Contact IRMB to request delivery of the required number of records center boxes or media containers.
  3. Upon receipt of the records center boxes or media containers, pack the records using the following guidelines:
    - Pack only one series of records (as defined in NUREG-0910) in a single container. Additionally, do not pack records in the same series with widely varying destruction dates in the same container.
    - When packing the boxes, preserve the existing arrangement of the files.
    - Do not force files into the boxes. Leave a half-inch space in each box.
    - Pack file folders upright, with letter-size folders facing the front and legal-size folders facing the left side of the box.
    - Remove records with an established disposal date that are in plastic notebooks from the notebooks before packing them in the box. Substitute metal looseleaf rings or posts for the notebooks, if appropriate.
    - Place permanent records that are in plastic notebooks with the back of the notebook laying flat against the bottom of the box. **DO NOT** stand the notebook on its end when packing the box.
    - **DO NOT** pack file folders and plastic notebooks in the same box.
    - **DO NOT** pack file folders on top of one another in a box.
  4. After the records are packed, number the containers sequentially (1 of 10, 2 of 10, 3 of 10, etc.) with a permanent black marker in the upper right front corner.

## **Exhibit 11 (continued)**

### **Computer Tapes, Disks, and Microform (continued)**

5. Prepare NRC Forms 35 and 35A, "Records Transfer."
6. Close the containers. Close records center boxes by consecutively closing the four top flaps of the box, tucking the corner of the last flap under the corner of the first flap.
7. Submit the completed NRC Form 35 to IRMB.
8. Upon receipt and review of the NRC Form 35, IRMB will assign the records a job number and will arrange for pickup and delivery of the containers to the AF.

## **Exhibit 12**

### **Instructions for Preparing NRC Forms 35 and 35A, “Records Transfer” and “Records Transfer Continuation”**

NRC Forms 35 and 35A, “Records Transfer” and “Records Transfer Continuation,” are stocked only in the Information and Records Management Branch (IRMB), Office of Information Resources Management (IRM). All requests for these forms should be directed to IRMB.

#### **General Instructions for Preparing Forms**

- The transferring office completes blocks 11 through 21 and 23 through 26 of NRC Form 35.
- IRMB completes blocks 1 through 10, 22, and 27 through 31 of NRC Form 35 upon receipt of the form from the transferring office.
- Use a typewriter to prepare the forms. These forms will be retained by IRMB permanently and will be used as the documentation to transfer permanent records to the National Archives of the United States.
- Each separate record series must be submitted as a separate job, on a separate form.
- Records in the same record series with widely varying disposal dates must be retired as separate jobs. Generally, 1 or 2 years of records can be retired as one job.
- Before preparing NRC Forms 35 and 35A, pack the records in records center boxes or media containers provided by IRMB.
- Use only one NRC Form 35 for each job being retired.
- Use as many NRC Form 35As as necessary to completely describe the records being retired in each job.
- Double-space between lists of items in the same container.
- Leave three blank lines when beginning a list for a new container.

#### **Detailed Instructions for Preparing NRC Form 35**

1. In the block titled “Originating Office” (block 11), indicate the office, division, and branch of the organization responsible for the records.
2. In the block titled “File Custodian” (block 12), indicate the name and phone number of the file custodian responsible for the records.



## **Exhibit 12 (continued)**

### **Detailed Instructions for Preparing NRC Form 35 (continued)**

3. In the block titled "Location of Records" (block 13), indicate the building and room number where the records are located.
4. In the block titled "Title of Record Series" (block 14), identify the series of records being retired. Refer to NUREG-0910, "NRC Comprehensive Records Disposition Schedule."
5. In the block titled "Record Schedule Number" (block 15), indicate the appropriate record schedule number from NUREG-0910.
  - a. Identify the name of the schedule: (NRCS) for Nuclear Regulatory Commission Schedule and (GRS) for General Records Schedule
  - b. Identify the schedule number, the part number, the item number. Examples of records schedules include—
    - (1) NRCS I-2.1.a (this represents Nuclear Regulatory Commission Schedule Number I, Part 2, Item 1.a.)
    - (2) GRS 1-33 (this represents General Records Schedule Number 1, Item 33)
6. In the block titled "Classification of Records" (block 16), type an "X" in the appropriate box to indicate whether the records are classified. If the records are classified, indicate the classification of each file in the detailed "Records Description" (block 23) and indicate the highest classification in the block titled "Highest Classification" (block 16).
7. In the block titled "Record Medium" (block 17), check the block labeled "Paper" if the records being retired are paper. If the record medium is microform, audiovisual, or machine readable, check the appropriate block and indicate the specific medium in the block titled "Provide Specific Medium." For example, if the records being retired are IBM 3480 tape cartridges, the block labeled "Machine Readable" should be checked and "IBM 3480 Tape Cartridges" should be typed in the block titled "Provide Specific Medium."
8. In the block titled "Total Number of Containers" (block 18), indicate the total number of containers being retired in this job.
9. In the block titled "Type of Container(s)" (block 19), check the block labeled "Records Center Box" if the containers are records center boxes, or check the block labeled "Other" if the containers are not records center boxes. If the block labeled "Other" is checked, indicate the specific type of container.

## **Exhibit 12 (continued)**

### **Detailed Instructions for Preparing NRC Form 35 (continued)**

10. In the block titled "General Description of Records" (block 20), indicate a general description of the records being retired. Describe the records, using terms commonly used by the staff familiar with the records.
11. Beginning with container number one, type in the container number in the block titled "Container Number" (block 21).
12. Beginning with container number one, describe the records packed in the container in the block titled "Records Description" (block 23). The records must be described in sufficient detail to facilitate future references to the records. The following are important points to remember when describing retired files:
  - Provide a description for each separate file folder, binder, report, tape, and so forth, that is in the container. A records center box that contains 12 file folders will require 12 separate descriptions (one for each folder) on the form.
  - Generally, the title of a file folder, binder, report, and so forth, is sufficient description if it clearly identifies the contents. **DO NOT** simply type "Subject File," or "Case File," without identifying the specific subject or case.
  - Provide a clear indication of where the description of one file ends and another begins. Generally, double-spacing between the description of separate files provides a clear separation. You may type a continuous line across the page to separate files or use any other method that provides a clear separation. **DO NOT** type a continuous string of text with no clear indication of where the description of one file ends and another begins.
  - Include with the description of each file any identification numbers that pertain to the file, for example, docket number, contract number, license number, case number, form number, and so forth. **DO NOT** type a single heading consisting of an identification number followed by a list of files that are associated with the identification number.
  - **DO NOT** type any headings followed by a list of files that are associated with that heading. Retype the text of the heading as the beginning of the description of each file.

## Exhibit 12 (continued)

### Detailed Instructions for Preparing NRC Form 35 (continued)

- Clearly define any identification numbers that pertain to the files. If a number is a docket number, precede it with "Docket Number"; if a number is a case number, precede it with "Case Number"; and so forth. **DO NOT** type a series of numbers without clearly defining their significance.
  - **DO NOT** use abbreviations or acronyms without first defining them.
13. For each entry in the "Records Description" block, indicate the date span (beginning month/year and ending month/year) of the records in the block titled "Date Span" (block 24).
  14. When all the records in container number one have been described, leave three blank lines and continuing with container number two, type the container number in the block titled "Container Number" (block 21).
  15. Describe the records in container number two in the same manner as container number one.
  16. Continue to type the container number, description, and date span of the records for each container to be retired in the records series. If additional space is needed for describing the records, use as many NRC Form 35As as necessary.
  17. When all the records to be retired have been described, number each page in the space provided at the top right corner of the page.
  18. In the block titled "Records Liaison Officer — Typed Name and Signature" (block 25), type the name of the Records Liaison Officer (RLO) in charge of the office transferring the records. Have the RLO sign this block.
  19. In the block titled "Date" (block 26), type the date that the Records Liaison Officer signed the form.
  20. Retain one copy of the completed form as a suspense copy. Submit the original to the IRMB, Mail Stop T-5 F3.

**Exhibit 13**  
**SF 127, "Request for Official Personnel Folder  
(Separated Employee)"**

<b>REQUEST FOR OFFICIAL PERSONNEL FOLDER (SEPARATED EMPLOYEE)</b>		<b>1. DATE OF REQUEST</b>	
<b>SECTION I - TO BE COMPLETED BY REQUESTING PERSONNEL OFFICE</b>			
<b>2. CURRENT NAME (Last, first, middle)</b>		<b>2a. NAME UNDER WHICH FORMERLY EMPLOYED FEDERALLY (if different than item 2)</b>	
<b>NATIONAL ARCHIVES AND RECORDS ADMINISTRATION NATIONAL PERSONNEL RECORDS CENTER (Civilian Personnel Records) 111 WINNEBAGO STREET ST. LOUIS, MO 63118</b>		<b>3. DATE OF BIRTH</b>	
		<b>4. SOCIAL SECURITY NUMBER</b>	
		<b>SUBMIT IN DUPLICATE FOR EACH FOLDER REQUESTED</b>	
		<small>Original will be used to send folder or reply to your agency. Second copy retained by agency for its personnel files. Third copy is for records center use.</small>	
<b>5. PREVIOUS FEDERAL EMPLOYMENT</b>			
<small>AGENCY AND BUREAU</small>	<small>LOCATION</small>	<small>FROM</small>	<small>TO</small>
<b>6. REASON FOR REQUEST (Check appropriate box)</b>			
<input type="checkbox"/> a. Currently employed. <input type="checkbox"/> b. Temporary est. <input type="checkbox"/> c. Pre-employment consideration. Will retain folder if hired.			
<b>REMARKS</b>			
<b>SECTION II - FOR USE BY RECORDS CENTER</b>			
<input type="checkbox"/> a. Folder enclosed		<input type="checkbox"/> a. Folder was sent (Date) _____ to: _____ _____ _____	
<input type="checkbox"/> b. Our search did not reveal a record of claimed civilian Federal employment. Please submit any additional information or documentation that will help verify this employment.			
<input type="checkbox"/> c. Folder not received. Suggest you contact last employing office.			
<input type="checkbox"/> d. Folder not located. For a former employee of your agency, we suggest a further search of your agency. If still unsuccessful, verify name, date of birth, and social security number, and return request to NPPRC together with the date folder was transferred to NPPRC and several names, dates of birth, and social security numbers of other folders in same shipment.		<input type="checkbox"/> Your agency <input type="checkbox"/> Other _____ _____ _____	
		<small>DATE</small>	<small>INITIALS</small>
<b>SECTION III - TO BE COMPLETED BY REQUESTING PERSONNEL OFFICE</b>			
<b>NAME OF REQUESTER</b>		<b>TELEPHONE NO.</b>	
		<small>For complete address to which folder or reply is to be mailed include ZIP Code</small>	
<b>STANDARD FORM 127 (Rev. 7-86)</b> <small>Prescribed by NARA, 36 CFR 1228.154(a)</small>			

## Exhibit 14

# NRC Form 519, "Transfer of Official NRC Records to an Agreement State"

NRC FORM 519 (6-91)		U.S. NUCLEAR REGULATORY COMMISSION	
<b>TRANSFER OF OFFICIAL NRC RECORDS TO AN AGREEMENT STATE</b>			
<b>TO BE COMPLETED BY RECORDS LIAISON OFFICER</b>			
1. PROGRAM OFFICE RESPONSIBLE FOR RECORDS		2. OFFICE WITH PHYSICAL CUSTODY OF RECORDS	
HEADQUARTERS	OFFICE/DIVISION/BRANCH	HEADQUARTERS	OFFICE/DIVISION/BRANCH
REGION		REGION	
A. RECORDS LIAISON OFFICER		A. RECORDS LIAISON OFFICER	
B. TELEPHONE	C. MAIL STOP	B. TELEPHONE	C. MAIL STOP
3. LOCATION OF RECORDS		4. FILE CUSTODIAN	
5. AGREEMENT/AMENDMENT REQUIRING TRANSFER OF RECORDS		6. FEDERAL REGISTER NOTICE	
		A. VOLUME	B. PAGE NUMBER
		C. DATE	
7. NAME AND ADDRESS OF STATE AGENCY TO RECEIVE RECORDS		8. AGENT TO WHOM RECORDS WILL BE TRANSFERRED	
		9. PROPOSED DATE OF TRANSFER	
		10. ACTUAL DATE OF TRANSFER	
11. INVENTORY OF RECORDS BEING TRANSFERRED (Complete a separate form for each record series. Use NRC Form 519A if additional space is required.)			
A. RECORD SERIES (FROM NUREG-0910)		B. RECORD SCHEDULE NUMBER (FROM NUREG-0910)	
C. RECORD DESCRIPTION (IDENTIFY EACH CASE FILE, LICENSE FILE, ETC.)		D. DATE SPAN	
		FROM (MO/YR)	TO (MO/YR)
12. SIGNATURE—OFFICE RECORDS LIAISON OFFICER RESPONSIBLE FOR RECORDS		13. SIGNATURE—RECORDS LIAISON OFFICER WITH PHYSICAL CUSTODY OF RECORDS (If same as item 12, no signature required)	
14. APPROVAL—RECORDS APPROVED FOR TRANSFER			
SIGNATURE—NRC RECORDS OFFICER			DATE
15. RECEIPT—ALL RECORDS HAVE BEEN RECEIVED			
SIGNATURE—STATE REPRESENTATIVE			DATE

## Exhibit 15

# NRC Form 545, "Transfer of State Government Records to the NRC"

<b>NRC FORM 545</b> (4-92) NRC 3.53		<b>U.S. NUCLEAR REGULATORY COMMISSION</b>	
<b>TRANSFER OF STATE GOVERNMENT          RECORDS TO THE NRC</b>			
<b>1. NAME AND ADDRESS OF STATE AGENCY          TRANSFERRING RECORDS TO THE NRC</b>		<b>2. NRC OFFICE WITH PHYSICAL CUSTODY OF RECORDS</b>	
		<b>HEADQUARTERS</b>	<b>OFFICE/DIVISION/BRANCH</b>
		<b>REGION</b>	
		<b>A. RECORDS LIAISON OFFICER</b>	
		<b>B. TELEPHONE</b>	<b>C. MAIL STOP</b>
		<b>D. FILE CUSTODIAN</b>	
<b>3. NRC OFFICE RESPONSIBLE FOR RECORDS</b> (If same as Item 2, do not complete)		<b>4. DATE RECORDS WERE RECEIVED BY NRC</b>	
<b>A. OFFICE/DIVISION/BRANCH</b>			
<b>B. RECORDS LIAISON OFFICER</b>		<b>5. VOLUME OF RECORDS TRANSFERRED TO NRC</b> (State volume in cubic feet)	
<b>C. TELEPHONE AND MAIL STOP</b>			
<b>6. INVENTORY OF TRANSFERRED RECORDS</b> (Complete a separate form for each record series. Use NRC Form 545A if additional space is required.)			
<b>A. RECORD SERIES</b> (From NUREG-0910)		<b>B. RECORD SCHEDULE NUMBER</b> (From NUREG-0910)	
<b>C. RECORD DESCRIPTION</b> (Identify each case file, license file, etc.)		<b>D. DATE SPAN</b>	
		<b>FROM (MO/YR)</b>	<b>TO (MO/YR)</b>
<b>7. SIGNATURE-RECORDS LIAISON OFFICER RESPONSIBLE FOR RECORDS</b>		<b>DATE</b>	
<b>8. SIGNATURE-RECORDS LIAISON OFFICER WITH PHYSICAL CUSTODY OF RECORDS</b> (If same as Item 7, no signature required)		<b>DATE</b>	

NRC FORM 545 (4-92)

**NRC Form 545A, "Transfer of State Government Records  
to the NRC (Continuation)"**

REC Form 545A

## Exhibit 17

# NRC Form 317, "Annual Report of Records Holding and Disposition"

NRC FORM 317 (5-85) NRCN 0237		U.S. NUCLEAR REGULATORY COMMISSION		1. REPORTING ORGANIZATION (OFFICE/DIVISION/BRANCH)							
<b>ANNUAL REPORT OF RECORDS HOLDING AND DISPOSITION</b>				2. LOCATION							
REPORT FOR YEAR ENDING SEPTEMBER 30, 19 ____				3. NAME OF REPORTING OFFICIAL							
5. REPORT FOR: (check one) <input type="checkbox"/> HEADQUARTERS <input type="checkbox"/> FIELD				4. TITLE OF REPORTING OFFICIAL							
VOLUME (cubic feet) (Use Table of Equivalents for Container Capacity)											
TYPE OF SPACE	RECORDS ON HAND SEPTEMBER 30 LAST YEAR	RECORDS ON HAND SEPTEMBER 30 THIS YEAR	RECORDS DESTROYED	NONRECORDS DESTROYED	RECORDS TRANSFERRED TO OTHER AGENCIES	NONRECORD MATERIAL ON HAND SEPTEMBER 30 THIS YEAR					
6. OFFICE											
7. STORAGE AREAS											
8. TOTALS											
9. RECORDS TRANSFERRED TO OTHER FEDERAL OR STATE AGENCIES											
NAME OF AGENCY		LOCATION OF RECORDS			VOLUME OF RECORDS						
10. RECORDS TRANSFERRED FROM OTHER FEDERAL OR STATE AGENCIES											
NAME OF AGENCY		LOCATION OF RECORDS			VOLUME OF RECORDS						
FILING EQUIPMENT ON HAND											
TYPE	NUMBER OF CABINETS				TYPE	NUMBER OF UNITS					
	2 DRAWER	3 DRAWER	4 DRAWER	5 DRAWER		2 TIER	3 TIER	4 TIER	5 TIER	6 TIER	7 TIER
11. VERTICAL LETTER SIZE					19. BOOKCASE						
12. VERTICAL LEGAL SIZE					20. SHELF FILE LETTER SIZE						
13. SAFE LETTER SIZE					21. SHELF FILE LEGAL SIZE						
14. SAFE LEGAL SIZE					22. TOTALS						
15. LATERAL 30" PULLOUT, (NFI)					23. CONSERVAFILES	NO. OF UNITS	LETTER OR LEGAL	NO. OF SECTIONS WIDE (BACK)		NO. OF TIERS	
16. LATERAL 36" PULLOUT											
17. LATERAL 42" PULLOUT					24. TRACK FILES	NO. OF UNITS	LETTER OR LEGAL	NO. OF SECTIONS WIDE	NO. OF SINGLE ROWS	NO. OF TIERS	
18. TOTALS											
25. OTHER (Describe and give cubic feet capacity and quantity of each cabinet)											

NRC FORM 317 (5-85)

Approved: September 17, 1992  
(Revised: June 15, 1995)



Approved: September 17, 1992  
(Revised: June 15, 1995)

## Exhibit 19

### NRC Form 331, "Records Retention and Disposition Authority"

NRC FORM 331 (9-88)		U.S. NUCLEAR REGULATORY COMMISSION		1. CONTROL NO.	
RECORDS RETENTION AND DISPOSITION AUTHORITY					
2. ORGANIZATION (Office/Division/Branch)					
3. IDENTIFICATION OF FILING UNIT (Include type of record, function performed, and other descriptive facts)					
4. VOLUME (cu. ft.)			5. DATES (Inclusive)		
6. EVALUATION (Include justification for retention period and reasons disposal is warranted. Indicate relationship of items to other items in the same or other organizational units. Use reverse side if additional space is required.)					
7. RECOMMENDED RETENTION PERIOD					
8. CONCURRENCE SIGNATURES (as required)		TITLE		ORGANIZATION	
a.					
b.					
c.					
9. APPROPRIATE DISPOSITION AUTHORITY AND/OR REMARKS:					
10. SIGNATURE OF OFFICIAL COMPLETING ITEM 9 ABOVE		TITLE		ORGANIZATION   DATE	

NRC FORM 331 (9-88)

## Exhibit 20

### Confidentiality Agreement

I, [name of executing official], hereby acknowledge that in accordance with Part IV of Nuclear Regulatory Commission (NRC) Handbook 3.53, I have been given access to the files and documents on the attached list, some of which contain nonpublic information. These documents were part of my files during my tenure as a member of the NRC and fall within Sections (E)(1) and (E)(2) of Part IV of Handbook 3.53.

In consideration of this grant of access, I agree not to disclose any of the nonpublic information that is knowable only through access to these documents to anyone unless I have been given express written permission by the Secretary of the Commission or have been so ordered by a court of competent authority. Nothing in this agreement is intended to prohibit me from expressing publicly my views on public issues, regardless of whether those views are contained in any of these documents. To help me determine whether information in any of these documents continues to be nonpublic, the NRC will provide me annually, upon request, a list of documents that appear on the attached list but that have been made public since the date of this agreement.

I further agree that if asked or subpoenaed to testify about the Commission on any issue that was the subject of Commission attention during my service, or to produce any documents I have from the Commission, I will notify the NRC's General Counsel as soon as possible and, in all cases, before responding to the request or subpoena.

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Date)

Attachment: List of Files

## **Exhibit 21**

### **Certification**

In accordance with Part III of U.S. Nuclear Regulatory Commission (NRC) Handbook 3.53, "NRC Records Management Program," a review was conducted by my staff to segregate papers within the following categories of records: (1) Official Record Copies of Government papers; (2) classified and Official Use Only papers; (3) personnel, proprietary, and safeguards papers; (4) investigative papers; and (5) protected information from other agencies. Also, my staff's review was subject to an audit conducted by the NRC.

On the basis of this review and to the best of my knowledge, I hereby certify that all papers within the categories described in the foregoing paragraph have been segregated and that no such papers are included in the papers that I plan to donate to [NAME OF INSTITUTION].

\_\_\_\_\_

Date: \_\_\_\_\_

## Exhibit 22

### Request to the Chairman for Access to Classified Information

[NAME]  
Chairman  
U.S. Nuclear Regulatory Commission  
Washington, D.C. 20555

Dear Chairman [NAME]

Executive Order (E.O.) 12356 provides that a former Presidential Appointee may continue to have access to classified information that he or she originated, reviewed, signed, or received while in office if the agency, in order to waive the requirement that access to classified information may be granted only as is essential to the accomplishment of authorized and lawful Government purposes, makes a determination that allowing continued access to such classified information is consistent with the interest of national security.

As you know, all the classified information in my files has been/will be retained by NRC. Since it is my desire to have continued access to that information, it is requested that you make the determination required by E.O. 12356 as set forth in the enclosure to this letter.

Sincerely,

Enclosure:  
As stated

## **Exhibit 23**

### **Continued Access to NRC Classified Information by Former NRC [Title/Name] Official**

In order to waive the requirement of Section 4.1(a) of Executive Order (E.O.) 12356, "National Security Information," that access to classified information\* may be granted only as is essential to the accomplishment of authorized and lawful Government purposes, I have determined, as provided in Section 4.3(b) of E.O. 12356, that allowing former NRC [TITLE/NAME] continued access to classified information contained in items he (or she) originated, reviewed, signed or received while serving as a Presidential Appointee is consistent with the interest of national security.

This determination is made with the understanding that all classified information to which he (or she) will be allowed access will be protected by him (or her) from unauthorized disclosure or compromise and will be safeguarded in a manner consistent with E.O. 12356, its implementing directives, the Atomic Energy Act of 1954, as amended, NRC security regulations, and any requirements that may be imposed by other U. S. Government agencies for the protection of their information.

Additionally, former [TITLE/NAME]'s access to this classified information is contingent upon his (or her) signing or having signed a Standard Form 189, "Classified Information Nondisclosure Agreement."

The documents will be reviewed (1) only in a room with access controlled by the NRC's Division of Security and (2) as appropriate, according to other procedures specified by the NRC's Division of Security.

---

Date

---

[NAME]  
NRC Chairman

---

\*NRC classified information includes National Security Information covered by E.O. 12356 and Restricted Data/Formerly Restricted Data covered by the Atomic Energy Act of 1954, as amended.

Exhibit 24  
NRC Form 340, "Vital Records Plan"

Page \_\_\_\_ of \_\_\_\_

NRC FORM 340 (04-92) NRCMD 3.53		U.S. NUCLEAR REGULATORY COMMISSION	
<b>VITAL RECORDS PLAN</b>			
<small>Instructions: Complete blocks 1-4.B. Submit completed form to the NRC Records Officer, IFM/DISS/IFMB, Mail Stop MNBB 7714.</small>			
1. NAME OF OFFICE SUBMITTING THIS VITAL RECORDS PLAN			
2. NAME AND TITLE OF OFFICIAL TO CONTACT REGARDING THIS VITAL RECORDS PLAN			PHONE NUMBER
3. IDENTIFICATION OF RECORDS TO BE INCLUDED IN THE VITAL RECORDS PROGRAM (Number each separate item)			
<small>Include the following information for each item: (A) General description of the records. (B) Vital records category (Emergency Operating Records or Rights and Interest Records). (C) Name of the Office/Division/Branch with physical custody of the records. (D) Justification for inclusion of the records in the Vital Records Program. NOTE: For each item categorized as Emergency Operating Records, also identify the NRC Program or Regional Office who will be using the records and the specific relocation site where the records will be needed.</small>			
4. APPROVAL SIGNATURES			
A. RECORDS LIAISON OFFICER - Typed name	Signature	Date	
B. OFFICER DIRECTOR - Typed name	Signature	Date	
C. NRC RECORDS OFFICER - Typed name	Signature	Date	

NRC FORM 340 (04-92)

## Exhibit 25

# NRC Form 340A, "Vital Records Plan Identification and Implementation Data"

NRC FORM 340A (4-92) NRC-9 3.13		U.S. NUCLEAR REGULATORY COMMISSION	
<b>VITAL RECORDS PLAN IDENTIFICATION AND IMPLEMENTATION DATA</b>			
Instructions: Prepare one NRC Form 340A for each approved item on the NRC Form 340, "Vital Records Plan"			
1. OFFICE SUBMITTING THE NRC FORM 340, "VITAL RECORDS PLAN"			
2. DESCRIPTION AND ITEM NUMBER OF THE RECORDS FROM THE NRC FORM 340, "VITAL RECORDS PLAN"			
3. VITAL RECORDS CATEGORY (Emergency Operating or Rights and Interest Records)			
4. OFFICE/DIVISION/BRANCH WITH PHYSICAL CUSTODY OF THE RECORDS			
5. OFFICIAL TO CONTACT FOR INFORMATION REGARDING THE RECORDS		B. Phone Number	
A. Name and Title			
6. RECORDS LIAISON OFFICER RESPONSIBLE FOR TRANSFERRING RECORDS TO THE IRMB		B. Phone Number	
A. Name and Title			
7. ESTIMATED VOLUME OF RECORDS (State volume in cubic feet)	8. CLASSIFICATION OF RECORDS	9. PHYSICAL FORMAT OF RECORDS (Paper, Microform, Computer Tape, etc.)	
10. FREQUENCY AND METHOD OF TRANSFERRING RECORDS TO THE IRMB			
11. UPDATING RECORDS WILL REQUIRE: (Check one box)	12. WILL USE OF THESE RECORDS REQUIRE ANY ELECTRONIC/MECHANICAL EQUIPMENT? (Check one box)	13. ARE ADDITIONAL FUNDS REQUIRED TO REPRODUCE COPIES FOR OFFSITE STORAGE? (Check one box)	
<input type="checkbox"/> A. COMPLETE REPLACEMENT	<input type="checkbox"/> A. NO	<input type="checkbox"/> A. YES	
<input type="checkbox"/> B. PAGE CHANGES ONLY	<input type="checkbox"/> B. YES (Specify below the equipment that will be needed)	<input type="checkbox"/> B. NO	
<input type="checkbox"/> C. OTHER (Specify below)	Equipment needed to use records-	Estimated annual cost to produce copies for offsite storage-	
Records are updated by-			
14. STORAGE SITE WHERE THE RECORDS ARE TO BE MAINTAINED			
15. METHOD OF TRANSFERRING RECORDS TO THE STORAGE SITE			

NRC FORM 340A (4-92)



## Exhibit 26

### NRC Form 400, "Request for Procurement Action (RFPA)"

NRC FORM 400 Part 2 (5-80) NRCM 5101, Part 2		U. S. NUCLEAR REGULATORY COMMISSION																					
REQUEST FOR PROCUREMENT ACTION (RFPA)																							
<b>12. DUPLICATION OF EFFORT</b> (Check as appropriate) <input type="checkbox"/> I certify, based on inquiries made with other NRC offices, that no unnecessary duplication of effort will result from the conduct of the subject work. (For actions less than \$100,000)  <input type="checkbox"/> Attached are certifications executed by each member of the Contract Review Board (Actions in excess of \$100,000)  <input type="checkbox"/> Contract Review Board Certification requests have been forwarded to Board Members for concurrence/comment. Completed certifications will be forwarded. (For urgent actions only, with prior approval of the Division of Contracts)		<b>13. LIST OF ATTACHMENTS</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;">NUMBER</th> <th>DESCRIPTION</th> </tr> </thead> <tbody> <tr><td> </td><td>STATEMENT OF WORK</td></tr> <tr><td> </td><td>EVALUATION CRITERIA WITH NUMERICAL WEIGHTS ASSIGNED</td></tr> <tr><td> </td><td>LIST OF FIRMS TO BE SOLICITED, IN ADDITION TO THE GENERAL PUBLIC</td></tr> <tr><td> </td><td>UNSOLICITED PROPOSAL JUSTIFICATION</td></tr> <tr><td> </td><td>JUSTIFICATION FOR NONCOMPETITIVE PROCUREMENT</td></tr> <tr><td> </td><td>DESIGNATION OF MEMBERS TO SOURCE EVALUATION PANEL</td></tr> <tr><td> </td><td>JUSTIFICATION FOR ACQUISITION OF CONSULTANT SERVICES, NRC FORM 400A</td></tr> <tr><td> </td><td>SPECIAL REQUIREMENTS (See NRC Appendix 5101, Exhibit 1, Page 3)</td></tr> <tr><td> </td><td>CONTROLLER'S APPROVAL OF A-76 DETERMINATION</td></tr> </tbody> </table>		NUMBER	DESCRIPTION		STATEMENT OF WORK		EVALUATION CRITERIA WITH NUMERICAL WEIGHTS ASSIGNED		LIST OF FIRMS TO BE SOLICITED, IN ADDITION TO THE GENERAL PUBLIC		UNSOLICITED PROPOSAL JUSTIFICATION		JUSTIFICATION FOR NONCOMPETITIVE PROCUREMENT		DESIGNATION OF MEMBERS TO SOURCE EVALUATION PANEL		JUSTIFICATION FOR ACQUISITION OF CONSULTANT SERVICES, NRC FORM 400A		SPECIAL REQUIREMENTS (See NRC Appendix 5101, Exhibit 1, Page 3)		CONTROLLER'S APPROVAL OF A-76 DETERMINATION
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	SPECIAL REQUIREMENTS (See NRC Appendix 5101, Exhibit 1, Page 3)																						
	CONTROLLER'S APPROVAL OF A-76 DETERMINATION																						
<b>14. ESTIMATED COST</b> (Attach cost-estimate breakdown)																							
CURRENT	FISCAL YEAR	SECOND	TOTAL																				
<b>15. FUNDING</b> This certifies that funds in the amount cited below are available in FY _____ allocated for the work described above. <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 20%;">AMOUNT</th> <th style="width: 60%;">NAME OF CERTIFYING OFFICIAL (Typed and Signed)</th> <th style="width: 20%;">DATE</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>				AMOUNT	NAME OF CERTIFYING OFFICIAL (Typed and Signed)	DATE																	
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CLASSIFICATION	AMOUNT (\$)	NUMBERS	APPH NUMBER(S)																				
<b>16. PROJECT OFFICER'S NAME</b>			<b>MAIL STOP</b> _____ <b>TELEPHONE NUMBER</b> _____																				
<b>17. APPROVAL OF DIRECTOR OR DESIGNEE</b> (Type name on line, and have signature placed above (typewritten))			<b>DATE</b> _____																				
<b>ORGANIZATION</b> _____																							
<b>18. REMARKS</b>																							
<b>FOR DIVISION OF CONTRACTS USE ONLY (Do not write below this line)</b>																							
<b>INITIAL ENTRY MADE INTO THE CIGRPOS SYSTEM</b>																							
<b>INPUTER'S NAME</b> _____			<b>DATE ENTERED</b> _____																				

## **Exhibit 27**

### **Office Project File Sections and Contents**

#### **Section 1: Project Background**

- Project Descriptive Summaries
- Project briefs or other identifying documentation
- User request letters
- Response letters
- Endorsement letters
- NRC Form 367, "DOE [Department of Energy] Source Selection Justification"
- Memorandum recording review group appraisal

#### **Section 2: General Correspondence**

- Memoranda on meetings, telephone conversations, decisions, and so forth
- Correspondence (interagency or interoffice)
- Miscellaneous pertinent documentation

#### **Section 3: Proposal Information**

- Statement of Work
- Requests for Proposal
- Proposals (Schedule 189s)
- Proposal evaluation memoranda
- Other appropriate proposal documentation
- Other appropriate documentation regarding Management Directive 10.6, "Use of Consultants and Experts" (formerly MC 4139)

#### **Section 4: Program Execution**

- Initial NRC Form 173 and attachments, including any documentation (NRC Form 189 or other forms) that refines or augments the terms and conditions of the Statement of Work for the project
- Concurrence page of transmittal memorandum
- Security/Classification (NRC Form 187)
- Subcontract information
- Program modifications (NRC Form 173 and attachments)
- Program closeout (NRC Form 173 and attachments)
- Property acquisition records
- Disposition of NRC-owned documentation generated at DOE work center
- Disposition/protection of proprietary information

**Exhibit 27 (continued)**

**Section 5: Program Monitoring**

- Monthly/quarterly letter status reports
- Task and subtask reports
- Review reports
- Performing organization performance evaluation
- NRC Form 426A, "Release to Publish Unclassified NRC Contractor, Consultant, or Conference Proceedings Reports"

**Section 6: Funding Information**

- Voucher log
- SF 1081 Voucher and Schedule of Withdrawals and Credits
- Project reprogramming documentation
- Ninety-percent funding notification
- Final closeout voucher

**Exhibit 28**  
**NRC Form 385, “Project File Identification”**

<b>NRC FORM 385</b> <small>(8-90)</small>		<b>U.S. NUCLEAR REGULATORY COMMISSION</b>		<b>FIN NUMBER</b>
<b>PROJECT FILE IDENTIFICATION</b>				
<b>ORGANIZATION (Division, Branch)</b>				
<b>PROJECT MANAGER</b>				<b>TELEPHONE NUMBER</b>
<small>INSTRUCTIONS. Complete columns 3 and 4 below only if referenced documents are not maintained in this folder.</small>				
<b>1. SECTION</b>	<b>2. CONTENTS</b>	<b>3. RESPONSIBLE ORGANIZATION</b>	<b>4. TELEPHONE NUMBER</b>	

Exhibit 29

NA Form 14028, "Information System Description"

INFORMATION SYSTEM DESCRIPTION	
1. SYSTEM TITLE	2. SYSTEM CONTROL NUMBER
3. AGENCY PROGRAM SUPPORTED BY SYSTEM	4. PROGRAM AUTHORITY
5. SYSTEM DESCRIPTION	
5A. PURPOSE/FUNCTION OF SYSTEM	
5B. SOURCE(S) OF DATA (Include inputs from Other Systems)	
5C. INFORMATION CONTENT	
5D. SYSTEM OUTPUTS (Include Outputs to Other Systems)	
6. NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers)	
7. AGENCY CONTACTS. (Names, Addresses, and Phone Numbers of System and Program Personnel who can provide additional information about the System and the Program & supports.)	
8. PREVIOUS DISPOSITION JOBS	
9A. PREPARER'S NAME	9B. OFFICE NAME AND ADDRESS
9C. PHONE NUMBER	
SIGNATURE	DATE

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

NA FORM 14028 (9-86)

## Exhibit 29 (continued)

### Definition

An *Information System* is the organized collection, processing, transmission, and dissemination of information in accordance with defined procedures. NARA's concern is with the government information in the system, that is, with information created, collected, processed, transmitted, disseminated, used, stored, and disposed of by the Federal Government. An electronic information system includes the inputs and outputs that are generated, as well as the information on electronic media. The system may contain budgetary, fiscal, social, economic, scientific-technical or program-related data and information, operated in support of agency programs and management responsibilities.

### Explanations

1. The commonly used name and acronym of the system (e.g., Budget System, Grain Monitoring System (GMS), etc.)
2. The internal control number assigned to the system for reference, control, or cataloging purposes [e.g., Information System Inventory Number, ADP Plan control number, etc.]
3. What agency programs or missions does the system support?
4. What laws, directives, etc., authorize these programs?
5. Description has the following sections:
  - a) *Purpose/Function*: The reasons for and the requirements met by the system.
  - b) *Sources of Data*: The primary sources or providers of data to the system [e.g., Broadcast License Holders, Corporations doing business in the US, etc.]. Does this system receive information from other systems, either from within or outside your agency?
  - c) *Information content*: The principal subject matter, data coverage, time span, geographic coverage, update cycle, whether the system saves superseded information, major characteristics of the system, and whether the system contain microdata or summary data.
  - d) *Outputs*: The principal products of the system. [e.g., reports, tables, charts, graphic displays, catalogs, correspondence, etc., and an indication of the frequency of preparation.] Is information from this system transferred to other systems?
6. and 7. Self explanatory.
8. Citations of previous NARA disposition jobs approving disposition of components (e.g., input forms, printouts, COM, output reports, etc.) of the system.
9. Self explanatory.

NA FORM 14028 BACK (9-88)



## Exhibit 30 (continued)

### INSTRUCTIONS

#### GENERAL

Use Standard Form 115 to obtain authority for the disposition of records. Submit two signed copies to the National Archives and Records Administration (NIRA), Washington, DC 20408, and retain one copy as your suspense copy. NARA will later return one copy as notification of the items approved for disposal or archival (permanent) retention. This copy will also indicate any items withdrawn or disapproved. GAO's written approval must either accompany each SF 115 requiring Comptroller General concurrence or be requested prior to the submission of the SF 115 to NARA. The SF 115 may be accompanied by Standard Form 115A, Continuation Sheet, by schedule items entered on blank stationery formatted similar to the SF 115A, or by pages formatted to conform to the agency's published records disposition schedule.

#### SPECIFIC

*Entry 1* should show the name of the Executive Branch department or independent agency, Legislative Branch agency, or the Administrative Office of the U. S. Courts for the Judicial Branch that is submitting the request.

*Entries 2 and 3* should show the major and minor organizational subdivisions that create or maintain the records described on the form. If more than one subdivision maintains records described in the submission, the various office names should be specified in entry 8.

*Entries 4 and 5* should provide the name and telephone number of the person to be contacted for information.

*Entry 6* must be signed and dated by the agency official authorized to certify that the retention periods for records proposed for disposal are adequate to meet the agency's needs, and that GAO requirements have been met (check appropriate box). Unsigned SFs 115 will be returned to the agency.

*Entry 7* should contain the item numbers of the records identified on the form in sequence, beginning with "1." Lower case letters and numbers may be used to designate subdivisions of an item (1a, 1b, 1b(1), 1b(2), etc.). Agency file numbers should not be entered in this column, but may be included in entry 8.

*Entry 8* should describe the records to be scheduled. Follow these steps in describing the records:

(a) Include centered headings for groups of items to indicate the office of origin if all records described on the form are not those of the same office, or if they are records created by another office or agency such as, for example, records inherited from a defunct agency.

(b) Identify separate collections of nontextual records, such as photographs, sound recordings, maps, architectural drawings, or magnetic tapes or disks, as separate and distinct items. If such records are interspersed with textual records, as in case files, their presence should be noted in the description of the textual file.

(c) Describe completely and accurately each series of records proposed for disposal or transfer to the National Archives. See 36 CFR 1228 for more detailed requirements. Failure to comply with the provisions of that regulation will result in the return of the SF 115 for corrective action.

(d) Provide clear disposition instructions for each item and subitem. These instructions should include file breaks; the time after which records will be retired to Federal records centers, if applicable; for temporary records, the time after which they may be destroyed; and for archival (permanent) records, the time after which they will be transferred to the legal custody of the National Archives.

(e) If immediate disposal or transfer to the National Archives is proposed for non-recurring records, indicate the volume and inclusive dates of the records and the Federal records center accession and box numbers, if applicable.

(f) If future or continuing disposition authority is requested, state the retention period in terms of years, months, etc. or in terms of future actions or events. Ensure that any future action or event that must precede final disposition is objective and definite.

(g) If records are converted to electronic form, schedule both the original records and the electronic media, unless covered by the General Records Schedules.

(h) If permanent or unscheduled records are converted to microform, the disposition for both the original and microform copies must be approved on an SF 115. The SF 115 covering the microform must contain the certifications required by 36 CFR 1230. Approval is not required for the disposition of microform copies of records authorized for disposal, as specified in the regulation cited above.

*Entry 9* must include the previous NARA disposition job and item numbers; General Records Schedule and item numbers, if applicable; and agency directive or manual and item numbers, if applicable, as required by 36 CFR 1228. If such information is missing from column 9, the SF 115 will be returned without action. Leave column 9 blank only if the records are being scheduled for the first time.

*Entry 10* is for NARA use only and should be left blank.

STANDARD FORM 115 BACK (REV. 3-91)