

U.S. NUCLEAR REGULATORY COMMISSION

DIRECTIVE TRANSMITTAL

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To: NRC Management Directives Custodians

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

Purpose: Management Directive 3.53 is being revised to reflect organizational changes and changes in responsibilities for managing the agency's records in the Agencywide Documents Access and Management System (ADAMS). MD 3.53 includes two handbooks: Handbook 1, "NRC Records Management Program," and Handbook 2, "ADAMS Document Processing."

No change bars have been used because of the extent of the revision.

Office of Origin: Office of Information Services

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Part: 2 Records Management

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NRC Records
and Document
Management Program

Directive
3.53

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U. S. Nuclear Regulatory Commission

Volume: 3 Information Management

Part: 2 Records Management

OIS

NRC Records and Document 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 comply with the regulations governing Federal records management issued by the National Archives and Records Administration (NARA) and the General Services Administration (GSA). All internally and externally generated records and documents are processed, maintained, distributed, made available to the public, and preserved or destroyed, as appropriate. The Agencywide Documents Access and Management System (ADAMS) maintains appropriate NRC unclassified, non-Safeguards, official program-related records in a centralized electronic records repository. NRC's publicly available documents are made available to the public via NRC's external Web site and the ADAMS public libraries. In addition to ADAMS, NRC maintains hard copy and electronic record and document-handling systems necessary to meet the needs of the agency. All NRC systems, including ADAMS, are designed to meet NARA regulations.

Objectives (3.53-02)

- To provide the NRC staff and its contractors with information about centralized records management and document

Objectives

(3.53-02) (continued)

processing services that support the automated repository for licensing, technical, and adjudicatory documents generated and received by NRC, and the related records management and document processing activities for the agency. (021)

- To provide guidelines for submitting documents for processing into ADAMS sufficient to ensure that they are indexed and formatted in a consistent manner, in accordance with NRC and ADAMS requirements. (022)
- To provide ADAMS document processing procedures to agency staff and contractors to ensure timely public and staff access to documents. (023)
- To foster effective and efficient filing and records management practices. (024)
- To ensure the integrity and completeness of the agency's official records regardless of their medium. (025)
- To ensure the preservation of— (026)
 - NRC records that have continuing value for protection of the rights and interests of the Federal Government and individuals. (a)
 - Records vital to the continuity of NRC activities during periods of national emergency. (b)
- To provide for the systematic cutoff and periodic retirement and destruction of official records under the "NRC Comprehensive Records Disposition Schedule" (CRDS), NUREG-0910. (027)

Organizational Responsibilities and
Delegations of Authority
(3.53-03)

Chief Information Officer
(031)

- Develops and maintains the agencywide information technology (IT) architecture, promoting the efficient design and operation of the agency's major information resources management processes. (a)
- Coordinates with NRC's Records Officer to ensure that the design and implementation of NRC's information systems incorporate Federal and NRC's records management requirements. (b)
- Supports the programs that mandate the Paperwork Reduction Act, the Government Paperwork Elimination Act, the Federal Records Act, the E-Government Act of 2002, the Privacy Act, the Government Performance and Results Act, and other Federal laws and regulations relating to information resources management. (c)
- Identifies and manages the impact of records and information management on systems design and the integrity, authenticity, and preservation of electronic records, information assurance, and Freedom of Information Act (FOIA) compliance. (d)
- Identifies the record management strategies that contribute to cost-effective, productive information services and ensures that the full life cycle of information from creation or acquisition through its destruction is managed, which includes organizing, categorizing, classifying, disseminating, and migrating. (e)

Organizational Responsibilities and
Delegations of Authority
(3.53-03)

Director, Office of Information Services (OIS)
(032)

- Establishes policies, procedures, and guidelines for managing documents and records in ADAMS and other record repositories. (a)
- Establishes appropriate funding levels to ensure that ADAMS document processing and document distribution services are sufficient to meet agency needs. (b)
- Establishes document processing and distribution policies and procedures to ensure cost-effective ADAMS document processing. (c)
- Administers the NRC central document processing facility. (d)
- Assigns responsibility for developing and implementing the NRC records and document management program. (e)
- Ensures NRC's information management and IT practices support efficient management of its records. (f)
- Periodically surveys the maintenance, use, and disposition of NRC official records to ensure that the procedures for them are adequate and are being satisfactorily implemented. (g)
- Designates an official to serve as the NRC Records Officer. (Part I of Handbook 1 of Management Directive (MD) 3.53 outlines the duties and responsibilities of the NRC Records Officer.) (h)
- Administers the information security program pertaining to Sensitive Unclassified Non-Safeguards Information (SUNSI). (i)

Organizational Responsibilities and
Delegations of Authority
(3.53-03) (continued)

Director, Office of Nuclear Security
and Incident Response (NSIR)
(033)

- Ensures that the Director of OIS is kept up to date on changes in document-handling and protection levels that may affect agency records or document management processes. (a)
- Administers the portion of the information security program that includes the management of the security classification program and other programs to protect classified and safeguards information. (b)

Office Directors and
Regional Administrators
(034)

- Implement the records management procedures and programs of this MD within their areas of responsibility. (a)
- Ensure that NRC staff, contractors, and consultants under their cognizance comply with the policies and procedural requirements set forth in this directive and handbooks, and other applicable guidelines and regulations cited as references for this directive. (b)
- Ensure that licensees and applicants under their cognizance are informed of their responsibilities regarding submitting documents to the agency. (c)

Organizational Responsibilities and
Delegations of Authority
(3.53-03) (continued)

Office Directors and
Regional Administrators
(034) (continued)

- Ensure that documents defined in this directive as requiring document processing are submitted for such processing in accordance with the procedures established in Handbook 2 of MD 3.53. (d)
- Designate to the Director of the Information and Records Services Division (IRSD), OIS, a staff member to serve as a Document Liaison Officer (DLO), who will be responsible for resolving matters relevant to document management, including the following tasks: (e)
 - Periodically review documents to ensure that official records and publicly available documents are appropriately catalogued in ADAMS. (i)
 - Define and coordinate with OIS new document distribution needs in support of agency programs. (ii)
 - Resolve issues associated with incomplete document submissions. (iii)
 - Periodically review this directive and handbooks and submit updates, additions, and deletions. (iv)
 - Review, in coordination with OIS, and approve any additional procedures developed by their office for submitting documents to ADAMS. (v)

Organizational Responsibilities and
Delegations of Authority
(3.53-03) (continued)

Office Directors and
Regional Administrators
(034) (continued)

- Designate a staff member to serve as Records Liaison Officer (RLO) to coordinate records management matters with the NRC Records Officer. (Part I of Handbook 1 of MD 3.53 outlines the duties and responsibilities of the RLO.) (f)
- Notify the Director of IRSD when there is a change in a designated DLO or RLO. (g)

Director, Information and Records
Services Division (IRSD), OIS
(035)

- Implements the requirements of MD 3.53 and delivers services defined herein. (a)
- Provides guidance and assistance to staff in accomplishing the objectives of this MD. (b)

Director, Division of Contracts
(DC), Office of Administration (ADM)
(036)

Ensures that contracts contain instructions for maintaining and disposing of contractor records (see Part VI of Handbook 1 of MD 3.53 for details).

Organizational Responsibilities and
Delegations of Authority
(3.53-03) (continued)

Chief, Information Services Branch
(ISB), IRSD, OIS
(037)

- Establishes and maintains ADAMS document-handling procedures in coordination with program offices to ensure that document processing and distribution services specified in this MD are achieved. (a)
- Maintains knowledge of other agency directives that may affect ADAMS distribution services and public access to documents made available in ADAMS and applies this knowledge to maintaining Electronic Regulatory Information Distribution System (e-RIDS) distribution lists and the e-RIDS distribution database in response to agency office document processing and distribution requirements. (b)
- Provides budget projections and advanced procurement planning information to ensure uninterrupted delivery of the services defined in this MD. (c)
- Administers the information security program to protect SUNSI. (d)

Chief, Records and FOIA/Privacy
Services Branch (RFPSB), IRSD, OIS
(038)

- Serves as the designated Agency Records Officer. (a)
- Manages NRC's overall records management program. (b)
- Ensures that documents made public, when disclosed in response to FOIA requests, are submitted to the Document Processing Center for ADAMS processing and designation as publicly available. (c)

Organizational Responsibilities and
Delegations of Authority
(3.53-03) (continued)

Chief, Records and FOIA/Privacy
Services Branch (RFPSB), IRSD, OIS
(038) (continued)

- Manages the program to manage agency SUNSI. (d)
- Establishes and maintains records management procedures in coordination with program offices to ensure that files maintenance and records disposition services specified in this directive are achieved. (e)
- Provides budget projections and advanced procurement planning information to ensure uninterrupted delivery of the services defined in this directive. (f)
- Ensures appropriate coordination and provides approval for access to NRC records by agency staff, their contractor, and the public. (g)

Applicability
(3.53-04)

The policy and guidance in this MD apply to all NRC employees, consultants, members of boards, and contractor personnel.

Document Liaison Officers (DLOs) and
Records Liaison Officers (RLOs)
(041)

This MD applies to and must be followed by all NRC Headquarters and regional DLOs and RLOs in their areas of responsibility.

Applicability
(3.53-04) (continued)

Employees
(042)

This MD applies to and must be followed by all NRC Headquarters and regional employees in their areas of responsibility, including management of contract and consultant agreements.

Handbooks
(3.53-05)

- Handbook 1 of MD 3.53, "NRC Records Management Program," contains procedures, standards, and guidelines for managing NRC's official records in accordance with NARA and GSA regulations. Detailed procedures and guidance for maintaining and disposing of Commission files and records also are contained in Handbook 1. (051)
- Handbook 2 of MD 3.53, "ADAMS Document Processing," contains procedures, standards, and guidelines for managing NRC's centralized records and document processing functions, including guidelines for submitting documents for processing and placing documents in ADAMS. (052)

References
(3.53-06)

Code of Federal Regulations

10 CFR Part 9, "Public Records" (1991).

36 CFR Subchapter B, "Records Management" (Parts 1220-1238).

References

(3.53-06) (continued)

Executive Orders (E.O.s)

E.O. 12958, "Classified National Security Information," amended by E.O. 12972 (September 18, 1995); E.O. 13142 (November 19, 1999); and E.O. 13292 (March 25, 2003).

General Services Administration (GSA)

GSA Records Management Handbook, "Subject Filing," 1981.

National Archives and Records Administration (NARA)

National Archives and Records Administration, Bulletin 2002-02, "Introduction of two additional electronic records transfer methods," November 7, 2001.

NARA forms mentioned in MD 3.53 can be found at the General Services Administration Forms Library (www.gsa.gov).

NRC Documents

ADAMS Document Submission Guidelines for HQ Offices, Step-by-Step Instructions, updated August 10, 2004 (ML010390031).

DOE/NRC Memorandum of Understanding, February 24, 1978.

NRC Electronic Maintenance and Submission of Information (e-Rule) (RIN 3150-AH33) January 1, 2004, and Guidance for Electronic Submissions to the Commission.

Staff Requirements Memorandum, S. J. Chilk, Secretary to the Commissioners, December 13, 1989 (COMJC-89-12), "Public Release of Staff Requirements Memoranda, Commissioners' Votes, and SECY Papers."

References

(3.53-06) (continued)

NRC Forms

NRC forms mentioned in MD 3.53 can be accessed from agency desktops via the online forms icon.

NRC Management Directives

2.8, "Project Management Methodology (PMM)."

3.1, "Freedom of Information Act."

3.2, "Privacy Act."

3.4, "Release of Information to the Public."

3.7, "NUREG-Series Publications."

3.57, "Correspondence Management."

6.2, "Continuity of Government and Continuity of Operations Programs."

7.5, "Ethics Counseling and Training."

10.6, "Use of Consultants and Experts."

10.12, "Use of Advisory Committee Members."

11.7, "NRC Procedures for Placement and Monitoring of Work With the U.S. Department of Energy (DOE)."

12.2, "NRC Classified Information Security Program."

12.3, "NRC Personnel Security Program."

12.5, "NRC Automated Information Security Program."

References

(3.53-06) (continued)

12.6, "NRC Sensitive Unclassified Information Security Program."

13.1, "Property Management."

NUREGs

0910, "NRC Comprehensive Records Disposition Schedule."

BR-0273, "ADAMS Desk Reference Guide."

United States Code

Acceptance of Records for Historical Preservation (44 U.S.C. 2107).

Computer Security Act of 1987 (40 U.S.C. 759).

Coordination of Federal Information Policy—Federal Agency Responsibilities (44 U.S.C. 3506).

Electronic Freedom of Information Act of 1996 (5 U.S.C. 552).

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

Federal Acquisition Regulation (FAR) Subpart 4.7, "Contractor Records Retention."

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

Federal Information Processing Standard 1-2, November 14, 1984.

References

(3.53-06) (continued)

Federal Records Act (44 U.S.C. Chapters 29, 31, 33, and 35).

Federal Rules of Evidence, Article VIII, Rule 803(6).

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

Information Technology Management Reform Act of 1996 (40 U.S.C. 1401 note.).

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

"Records and Reports" (18 U.S.C. 2071).

NRC Records Management Program

Handbook 1
of MD 3.53

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Part I

NRC Records Management Program

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). The general requirements, duties, and responsibilities for implementing the NRC records management program in accordance with NARA and GSA regulations and guidance to assist NRC employees in identifying official records and distinguishing between record and nonrecord materials are given below.

General Requirements for an Agency's Records Management Program (A)

Creation of Records (1)

NARA regulations require NRC to create and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency. To accomplish this goal, all staff are required to identify Federal records, including those communicated by electronic mail (e-mail), and to ensure that appropriate records are created and maintained.

Maintenance of Records (2)

NARA regulations require NRC to ensure that complete records are filed or otherwise identified and preserved, records can be found when needed, and permanent records are identified and physically segregated from temporary records, or for electronic records, permanent records are physically segregable from temporary records. (a)

General Requirements for an Agency's
Records Management Program (A) (continued)

Maintenance of Records (2) (continued)

Federal records, regardless of media, are to be located at formally specified official file stations. The maintenance of records at unauthorized locations is prohibited. (b)

The Agencywide Documents Access and Management System (ADAMS) is an electronic information system that maintains NRC unclassified official programmatic and administrative records in a centralized electronic document repository. ADAMS meets the requirements of NARA's regulations and was approved by NARA as an official electronic recordkeeping system. After April 1, 2000, NRC Headquarters and regional offices discontinued maintaining certain record collections in paper because the official record is maintained electronically in ADAMS. (c)

Federal records and nonrecord materials are to be maintained separately in clearly distinguishable series and separately from any personal papers. (d)

Disposition of Records (3)

NARA regulations require 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 Washington National Records Center (WNRC), the conversion of the information to other media, and the prompt disposal of valueless records that have served their purpose. The "NRC Comprehensive Records Disposition Schedule" (CRDS) (NUREG-0910) provides the authorized disposition for all NRC records. Each record schedule has been approved by the appropriate NRC officials and the Archivist of the United States. Disposition of any NRC records requires the approval of the Archivist of the United States.

General Requirements for an Agency's Records Management Program (A) (continued)

Liaison With NARA (4)

NARA requires Federal agencies to assign responsibility for developing the records management program to one or more offices. NARA also requires the responsible office(s) to submit the name, title, and telephone number of the official(s) authorized by the head of the agency to approve records disposition schedules and to transfer records to the custody of the National Archives of the United States. (a)

For NRC, the Office of Information Services (OIS), Information and Records Services Division (IRSD), Records and FOIA/Privacy Services Branch (RFPSB), is responsible for developing and implementing the NRC records management program. The Chief of RFPSB is the official authorized to approve records disposition schedules and to transfer records to the National Archives. (b)

Recordkeeping Requirements (B)

To provide for the adequate documentation of the organization, functions, policies, decisions, procedures, and essential transactions of NRC, records shall be created and maintained that are sufficient to— (1)

- Document the persons, places, things, or matters dealt with by NRC (a)
- Facilitate action by NRC officials and their successors in office (b)
- Make possible a proper scrutiny by the Congress or other duly authorized agencies of the Government (c)
- Protect the financial, legal, and other rights of the Government and of persons directly affected by the Government's actions (d)

Recordkeeping Requirements (B) (continued)

- 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) (e)
- Document important board, committee, or staff meetings (f)

Each office shall identify, develop, issue, and periodically review the recordkeeping requirements for all operations conducted by its office and for the operations for which its office has coordination responsibility. Offices are to identify the documents, forms, reports, and other types of records, including e-mail, that are required to document an action or activity and issue these requirements in their management directives, office policies, and other written procedures. Office guidance shall specify when receipts or acknowledgments for e-mail messages are needed for recordkeeping purposes. Recordkeeping requirements for each operation and activity shall— (2)

- Identify and prescribe specific categories of documentary materials to be systematically created or received and maintained by agency personnel in the course of their official duties (a)
- Prescribe the use of materials and recording techniques that ensure the preservation of records as long as they are needed by the Government (b)
- Prescribe the manner in which these materials shall be maintained wherever held (c)
- Distinguish record from nonrecord materials and, with the approval of the Archivist of the United States, prescribe action for the final disposition of agency records when they are no longer needed for current business (d)

Duties and Responsibilities for
Implementing the Records
Management Program (C)

NRC Records Officer (1)

By delegation from OIS and, as mandated by 36 CFR Part 1220, the Records Officer (Chief of RFPSB)—

- 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)
- Develops and implements an agencywide program to identify, develop, issue, and periodically review recordkeeping requirements for records of all agency activities, at all levels and locations, and in all media, including electronic records that are created or received using e-mail. (d)
- Audits the records management program in all offices to ensure compliance with established policies and procedures, including guidance for maintaining Official Agency Records (OARs) in electronic form in systems such as ADAMS. (e)
- Periodically monitors staff determinations of the record status of documentary materials, including e-mail, as part of NRC's internal evaluations. (f)
- Reviews and evaluates the use of filing equipment and makes decisions on filing equipment allocations. (g)
- Serves as liaison with NARA, GSA, the Government Accountability Office (GAO), the Office of Management and

Duties and Responsibilities for
Implementing the Records
Management Program (C) (continued)

NRC Records Officer (1) (continued)

Budget (OMB), and other agencies on matters relating to records management. (h)

- Maintains and issues a CRDS (NUREG-0910) to appropriate staff, as prescribed by NARA, to ensure the proper disposition of all NRC records. (i)
- Coordinates the NRC vital records program as described in Part V, "Procedures for Managing Vital Records," of this handbook. (j)
- Grants or denies exceptions to or deviations from the records management procedures prescribed in this handbook. 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. (k)

Records Liaison Officers (2)

General Records Management Responsibilities (a)

By delegation from office directors and regional administrators, Records Liaison Officers (RLOs)—

- Administer records management policies, procedures, and programs through designated file custodians to ensure that NUREG-0910 is being followed and that the agency's files maintenance system is being implemented within the respective offices. (i)

Duties and Responsibilities for
Implementing the Records
Management Program (C) (continued)

Records Liaison Officers (2) (continued)

- Ensure that staff are creating and maintaining records with adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the office. (ii)
- Review and approve “Files Maintenance and Disposition Plans” (NRC Forms 306 and 306A; Exhibit 1) generated for the office’s official record collections to ensure accuracy, adequacy, completeness, and compliance with NUREG-0910 and agency records management policies. (iii)
- Maintain files maintenance and disposition plans for all official record collections, including ADAMS, within their respective offices and review plans annually to ensure the accountability of all records and the correct disposition authorities. (iv)
- 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. (v)
- Process requests for certifying copies of official records in accordance with Part II, Section (B)(5), “Procedures for Certifying Copies of Official Records.” (vi)
- Process requisitions for filing equipment (NRC Form 30, “Request for Administrative Services”; accessible through the online forms icon) in accordance with Part II, Section (B)(7), “Requirements for Requisitioning Filing Equipment.” (vii)
- Identify records to be transferred to Agreement States, prepare appropriate forms (NRC Form 519, “Transfer of Official NRC Records to an Agreement State”; accessible through the online

Duties and Responsibilities for
Implementing the Records
Management Program (C) (continued)

Records Liaison Officers (2) (continued)

forms icon), coordinate the preparation and shipment of the records to the State agent, and ensure that the signed transfer form verifying receipt by the State is returned to the NRC Records Officer. (viii)

Responsibilities for Hard Copy (Paper) Record Collections (b)

By delegation from office directors and regional administrators, RLOs—

- Request the withdrawal and return of office records from and to the Washington National Records Center (WNRC) and maintain adequate documentation of all such activity. (i)
- Review and approve records transfer forms (NRC Forms 35 and 35A, “Records Transfer” and continuation sheet) for completeness and accuracy. (ii)
- Maintain records transfer forms for those hard copy records retired from their respective offices. (iii)
- Coordinate office’s annual report of records holdings as described in Part II, Section (C)(12), “Annual Report of Records Holdings.” (iv)

Responsibilities for Electronic Records in ADAMS (c)

By delegation from office directors and regional administrators, RLOs—

- Implement processes and procedures established by OIS for auditing completeness of record collections. (i)

Duties and Responsibilities for
Implementing the Records
Management Program (C) (continued)

Records Liaison Officers (2) (continued)

- Serve as file custodian for office's official record collections maintained in ADAMS. (ii)
- Serve as the point of contact for resolving document processing issues identified during the document capture process. (iii)
- Periodically monitor completeness of office document collections maintained in ADAMS and take appropriate actions to capture and complete ADAMS processing for any documents missing from the collections. (iv)
- For those offices that have chosen not to rely on the Document Processing Center (DPC) to complete all processing required to add incoming documents into ADAMS, coordinate the identification and designation of individuals to be members of various ADAMS Records Management Groups. The members of these groups will be allowed to perform specific ADAMS document processing and update functions; members of the Records Managers Group will be given owners rights to all OARs and the Records Declarers Group will be given the ability to declare records. (v)
- Periodically review the office's portion of the ADAMS File Plan used by OIS to "file" office documents and place them under records management control to ensure appropriate filing categories exist for OIS to file the office's records in ADAMS. Notify OIS when new file codes should be added to the file plan. (vi)
- Notify OIS when data needed to calculate disposition dates require revision. This includes such data as contract or license termination dates, and so on. (vii)

Duties and Responsibilities for
Implementing the Records
Management Program (C) (continued)

Records Liaison Officers (2) (continued)

- Periodically spot check the file codes contained in the property field of document collections maintained in ADAMS to identify documents that are being incorrectly filed; for example, documents that should be filed in multiple collections that have only been filed in a single file, or documents that have been filed under incorrect file codes in the records management system. (viii)
- Coordinate the review and concurrence of records disposition activities for documents eligible for disposition. This includes the review of disposition reports and the approval of the disposition of records before OIS takes action on records eligible for disposal. (ix)

File Custodians (3)

File custodians are identified by management (e.g., office, division, or branch) 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 an audit of the files under their purview from the respective RLO upon termination or transfer of responsibilities. (b)
- Provide reports and assistance to the respective RLO and/or NRC Records Officer, as necessary. (c)

Duties and Responsibilities for
Implementing the Records
Management Program (C) (continued)

NRC Employees and Contractors (4)

NRC employees and contractors—

- Must determine the record status of documentary materials, including e-mail, and 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," MD 12.3, "NRC Personnel Security Program," MD 12.5, "NRC Automated Information Security Program," and MD 12.6, "NRC Sensitive Unclassified Information Security Program." (c)

Identifying and Distinguishing
Between Record and Nonrecord
Materials (D)

Defining Federal Records (1)

Federal records are statutorily defined in the Federal Records Act (44 U.S.C. 3301) as— (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

Identifying and Distinguishing
Between Record and Nonrecord
Materials (D) (continued)

Defining Federal Records (1) (continued)

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,

Identifying and Distinguishing
Between Record and Nonrecord
Materials (D) (continued)

Defining Federal Records (1) (continued)

other units of the agency, private citizens, public officials, other agencies, contractors, and Government grantees) and regardless of how these 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 come into agency custody or are 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 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

Identifying and Distinguishing
Between Record and Nonrecord
Materials (D) (continued)

Identifying Federal Records (2) (continued)

NARA in 36 CFR 1222.34 should be applied to all documentary materials to determine their record or nonrecord status.

Record Status (a)

Documentary materials are records when they meet the following two conditions:

- 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)
- 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)

Record Status of Copies (b)

Multiple copies of the same document and documents containing duplicative information, including messages created and received using e-mail systems, may each have record status depending on how they are used to transact agency business. Extra copies of documents are nonrecord only when they are preserved solely for convenience of reference.

Record Status of Electronic Mail Messages (c)

Messages created or received on e-mail systems may meet the definition of a record. See Part VII, "Procedures for Creating, Maintaining, Using, and Disposing of Electronic Records," for examples and additional guidance.

Identifying and Distinguishing
Between Record and Nonrecord
Materials (D) (continued)

Identifying Federal Records (2) (continued)

Nonrecord Materials (d)

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 the Federal Records Act.

- Library and museum material (only if such material is made or acquired and preserved solely for reference or exhibition purposes) (i)
- Extra copies of documents (only if such copies are preserved solely 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)

Ensuring Adequate and Proper
Documentation (E)

The creation and maintenance of complete and accurate records contribute to efficient and economical agency operations by guaranteeing that information is documented in official files where it will be accessible to all authorized staff who may need it. Conducting NRC business without adequate documentation increases the probability that, in time, relevant facts may be unavailable or interpretations may be distorted. Official records must be complete and accurate, and include all pertinent records

Ensuring Adequate and Proper Documentation (E) (continued)

of documents, e-mails, unique drafts, and references. NRC program managers have primary responsibility for ensuring that complete and accurate records are created and maintained in the appropriate agency file locations. To ensure that the agency's official records adequately document the organization, functions, policies, decisions, procedures, and essential transactions of the agency, the policies discussed below are followed.

Internal Memoranda (1)

Originator of Internal Memoranda. The organization originating internal memoranda maintains an official record in the appropriate formally designated paper, electronic, or other recordkeeping system in accordance with the applicable records disposition schedule. Official records kept in paper form are maintained in a network of Official File Stations by the office, or by OIS, for certain paper records maintained in the NRC File Center. Although the original outgoing document may be prepared and distributed in paper, the originator's record copy of the outgoing correspondence may be designated for maintenance in paper, ADAMS, or in another recordkeeping system.

The originator's record copy of outgoing memoranda maintained in paper format consists of a copy of the final signed document, complete with all enclosures and/or attachments and the original concurrences of the involved NRC officials (the concurrence copy). The concurrence copy in paper format is annotated with the document date and marked "/RA/" by the author's name to indicate that the document was signed and designated as "records approved" consistent with MD 3.57, "Correspondence Management."

The record copy of outgoing memoranda maintained in electronic form in ADAMS or other electronic records management systems (ERMSs) consists of the concurrence copy of the final signed document created from its native application (such as WordPerfect)

Ensuring Adequate and Proper
Documentation (E) (continued)

Internal Memoranda (1) (continued)

or from scanning the document, complete with all enclosures and/or attachments, and the typed or annotated concurrences of the involved NRC officials. The concurrence copy in ADAMS or other ERMS is also to be dated and marked “/RA/” by the author’s name for “record approved,” if created in its native application, or marked “/S/” if scanned from a paper version. See the ADAMS Desk Reference Guide for additional guidance about processing documents into ADAMS.

Recipient of Internal Memoranda. Internally generated memoranda generally result in two official record copies of the document, each of which is filed in the official files of the originator and the recipient. Internal memoranda can be received in paper or in electronic format. The organization receiving the internally generated memoranda, regardless of form, determines if the memoranda meet the conditions of record status and are appropriate for preservation as evidence of the organization’s activities or because of the value of the information they contain. The receiving organization maintains an official record in the appropriate formally designated recordkeeping system in accordance with the applicable records disposition schedule. Official records kept in paper form are maintained in a network of Official File Stations. The official record of incoming paper memoranda is the signed original, including all enclosures and/or attachments. Official records received in paper designated to be kept in ADAMS require submitting the record copy to the DPC for scanning and ADAMS processing in accordance with instructions contained in the ADAMS Desk Reference Guide. Internal memoranda received through electronic notification with a link to the declared OAR in ADAMS require no further processing.

Ensuring Adequate and Proper
Documentation (E) (continued)

External Correspondence (2)

Outgoing Correspondence. The originating organization of NRC-generated outgoing correspondence maintains an official record in the appropriate formally designated paper, electronic, or other recordkeeping system in accordance with the applicable records disposition schedule. Official records kept in paper form are maintained in a network of Official File Stations by the office, or by OIS, for certain records maintained in the NRC File Center. Although the original outgoing document may be prepared and distributed in paper, the originator's record copy may be designated for maintenance in paper, ADAMS, or in another recordkeeping system.

The originator's record copy of outgoing memoranda maintained in paper format consists of a copy of the final signed document, complete with all enclosures and/or attachments and the original concurrences of the involved NRC officials (the concurrence copy). The concurrence copy in paper format is annotated with the document date and marked "/RA/" by the author's name to indicate that the document was signed and designated as "records approved" consistent with MD 3.57, "Correspondence Management."

The record copy of outgoing correspondence maintained in electronic form in ADAMS or other ERMSs consists of the concurrence copy of the final signed document created from its native application (such as WordPerfect) or from scanning the document, complete with all enclosures and/or attachments, and the typed or annotated concurrences of the involved NRC officials. The concurrence copy in ADAMS or other ERMS created from its native application is dated and marked "/RA/" by the author's name for "record approved." See the ADAMS Desk Reference Guide for additional guidance about processing documents into ADAMS.

Ensuring Adequate and Proper
Documentation (E) (continued)

External Correspondence (2) (continued)

Incoming Correspondence. Externally generated incoming correspondence can be received in paper or in electronic format. The organization receiving the incoming correspondence, regardless of form, determines whether the correspondence meets the conditions of record status and is appropriate for preservation as evidence of the organization's activities or because of the value of the information it contains. The receiving organization maintains the official record in the appropriate formally designated recordkeeping system in accordance with the applicable records disposition schedule.

Official records kept in paper form are maintained in a network of Official File Stations. The official record for incoming paper correspondence is the signed original and all enclosures and/or attachments.

Official records received in paper designated to be kept in ADAMS require submitting the incoming to the DPC in accordance with the ADAMS Desk Reference Guide. Externally generated incoming correspondence received through electronic notification with a link to the already declared OAR in ADAMS requires no further processing.

Part II, "Files Maintenance and Records Disposition Procedures," of Handbook 1 of MD 3.53 contains additional information on NRC Official File Stations and arrangements and NRC's records disposition schedules.

Drafts, Working Files, and Similar Materials (3)

Working files, such as preliminary drafts and rough notes and other similar materials, will be maintained and filed with the official record for purposes of adequate and proper documentation if they meet the following two conditions: (a)

Ensuring Adequate and Proper
Documentation (E) (continued)

Drafts, Working Files, and Similar Materials (3) (continued)

- They were circulated or made available to employees, other than the creator, for official purposes such as approval, comment, action, recommendation, followup, and to communicate with agency staff about agency business. (i)
- They contain unique information, such as substantive annotations or comments, that adds to a proper understanding of the agency's formulation and execution of basic policies, decisions, actions, or responsibilities. (ii)

Examples include— (b)

- Drafts of records (e.g., SECY papers) circulated for approval, comment, or action that are significantly changed in the final version based on comments submitted and those comments, provided insight into the basis for an agency position or decision and the comments are not documented in the official record. (i)
- Information (including video tapes and photographs) generated or acquired by NRC while inspecting a licensee's facility that contain unique information, the rationale for an NRC decision, or guidance that is not documented in the official record. (ii)

E-Mail Communications (4)

E-mail messages go through the same test as other Federal records to determine their record value. E-mails determined to be Federal records must be filed in the appropriate recordkeeping system (paper, electronic, or other) to ensure adequate and proper documentation. See Part I, Section (D)(2), "Identifying Federal Records," and Part VII, "Procedures for Creating, Maintaining, Using, and Disposing of Electronic Records," for additional information.

Records Management Training (F)

Records Management Web Site (1)

RFPSB/OIS has created a Records Management Web Site for all NRC staff on the NRC Web site at <http://www.internal.nrc.gov/ois/divisions/irsd/records-mgt/index.html>. The site provides staff guidance on managing e-mail records, working files, and other types of records, and how to identify, manage, and protect NRC official documents. The site also contains an interactive tool to assist staff in determining if a document is an official record, and other useful records management guidance, including the records disposition schedules, NARA's records management guidance, key NRC management directives dealing with records, and pertinent records management guidelines. (a)

Newly appointed RLOs receive an overview of their responsibilities and the records management program from a senior records management analyst in RFPSB. RLOs and their supervisors can also review RLO responsibilities in this directive. (b)

Professional Development Center and Online Records Management Training (2)

RFPSB has developed a Professional Development Center (PDC) course and an online records management training course for all staff, including RLOs, file custodians, and individuals with ADAMS records processing responsibilities. The PDC sessions are provided periodically based on demand. (See the PDC Training site for availability of the course.) The Web-based version of the course is at <http://148.184.142.90/readygo/hr/RecordsManagement11-01-04/index.htm>. All RLOs are required to take the PDC version of the course.

Part II

Files Maintenance and Records Disposition Procedures

Standardized procedures are established for the organization, maintenance, and disposition of NRC records. Records of all organizational components of NRC are subject to these procedures to promote efficiency and economy in administering official NRC files.

Planning and Arranging Files (A)

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

Official Agency Records Kept in ADAMS (1)

The term "Official Agency Record" (OAR) has the same meaning as that of "Federal Record" as defined in 44 U.S.C. 3301. ADAMS (the Agencywide Documents Access and Management System) is the official recordkeeping system for many NRC official unclassified programmatic and administrative records created after April 1, 2000. ADAMS also contains certain reference documents that are maintained in ADAMS for quick-reference purposes. Consult the "ADAMS Desk Reference Guide" for additional information concerning material appropriate for placing in ADAMS. See NUREG-0910 to identify the designated recordkeeping system for each records series. Direct any questions to your office Records Liaison Officer (RLO) or the OIS Records and Archives Services Section.

Planning and Arranging Files (A) (continued)

Official Agency Records Not in ADAMS (2)

Classified records and sensitive unclassified safeguards information (SGI), records of the Office of the Commission, and records determined to be inappropriate for electronic maintenance are not kept in ADAMS. Records not kept in ADAMS and records that predate ADAMS implementation are to be kept in paper or other recordkeeping systems, as appropriate. NUREG-0910 identifies the records series that are not kept in ADAMS. Also, consult the "ADAMS Desk Reference Guide" for additional information about material that is inappropriate for placing in ADAMS.

Record Series (3)

A records series is a broad category of records. Records are grouped together in a series because— (a)

- they relate to a particular subject or function that results from the same activity, (i)
- they document a specific kind of transaction, or (ii)
- they have another relationship arising out of their creation, receipt, or use. (iii)

The following are types of record series: (b)

- **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, the contents of the file might best be identified and used when arranged by subject or they could also be arranged alphabetically. (i)

Planning and Arranging Files (A) (continued)

Record Series (3) (continued)

- **Transitory Correspondence Files.** These files consist of correspondence, e-mail, 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 or e-mail 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 180 days. The National Archives and Records Administration (NARA) revised its regulations in March 2006 to authorize agencies to dispose of very short-term temporary electronic mail (e-mail) records (i.e., those with a retention of 180 days or less) without creating a separate paper or electronic recordkeeping copy. Consequently, transitory e-mail on NRC's GroupWise system can be destroyed through the routine purge cycle without being copied and placed in ADAMS or other recordkeeping system. (ii)

- **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 this part, Section (A)(3)(b)(i), "General (Subject) Correspondence Files," above. These files document a transaction from beginning to end. The files content is standardized by each office or division accumulating them. Some of the major NRC case, project, and task files include— (iii)
 - Docket files (a)

Planning and Arranging Files (A) (continued)

Record Series (3) (continued)

- Inspection case files (*b*)
 - Contracts or purchase orders¹ (*c*)
 - Official personnel folders (*d*)
 - Research project files² (*e*)
 - General technical issues files (*f*)
 - Standards development task files (*g*)
 - Systematic evaluation program task files (*h*)
 - Freedom of Information Act and Privacy Act files (*i*)
 - Rulemaking action files (*j*)
 - Fiscal accounting files (*k*)
- **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

¹Documents related to contracts or purchase orders are arranged in accordance with Part VI of this handbook.

²Documents related to work performed under the Department of Energy/Nuclear Regulatory Commission (DOE/NRC) Memorandum of Understanding are arranged in accordance with Part VI of this handbook.

Planning and Arranging Files (A) (continued)

Record Series (3) (continued)

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. (iv)

- **Technical Reference Files.** These files, sometimes called reference material or reference publications, consist of 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. (v)
- **Convenience Files.** These files contain extra copies of records or publications maintained for ease of access and reference, for example— (vi)
 - **Reading File.** This file contains extra copies of documents arranged in chronological order and is sometimes known as a chronological file or a day file. (a)
 - **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. It provides an additional source of reference to the subject file and is useful when papers are requested

Planning and Arranging Files (A) (continued)

Record Series (3) (continued)

by subject or organization. This type of file is not practical unless the volume of material is large. (b)

- **Suspense File.** This file consists of copies of correspondence or other documents that require action or attention on subsequent dates and also is known as a tickler file, a pending file, or a followup file. (c)
- **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. (d)
- **Nonstandard 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. (vii)

Benefits of Separating Files Into Basic Series (4)

The benefits derived from separating files into the basic series are numerous and discount most arguments against separate maintenance. Breaking a record collection down into separate groups facilitates—

- **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 of a more extended or permanent value are segregated from those of only temporary value. Separation of files into the basic groups

Planning and Arranging Files (A) (continued)

Benefits of Separating Files Into Basic Series (4) (continued)

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 for Paper Records (5)

Once the basic file series has been identified and separated within a file collection, the recordkeeper determines the best method of arranging the files. The arrangement should permit ease of filing and retrieval and eliminate the need for special indexing systems. (a)

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 series, 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 below. (b)

- **Numerical Arrangement.** This 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 purpose of filing because this practice requires the establishment of indexes to locate the documents. (i)

Planning and Arranging Files (A) (continued)

Basic Filing Arrangements for Paper Records (5) (continued)

- **Chronological Arrangement.** Documents can be filed according to date when the date is the primary reference. This method is the most useful 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 Management Directive (MD) 3.2, "Privacy Act," for information about Privacy Act Systems of Records. (c)

Developing a Subject File System for Paper Records (6)

An office must select the most effective and efficient method for filing its records to ensure their appropriate retention and

Planning and Arranging Files (A) (continued)

Developing a Subject File System for Paper Records (6) (continued)

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

Subject File Format (a)

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—(i)

- General Administrative (ADM) (a)
- Budget (BUD) (b)
- Freedom of Information Act and Privacy Act (FOIA/PA) (c)
- Personnel (PER) (d)
- Procurement and Contracting (PRC) (e)
- Records Management (REC) (f)

Planning and Arranging Files (A) (continued)

Developing a Subject File System for Paper Records (6) (continued)

- Security (SEC) (*g*)
- Space and Equipment (S&E) (*h*)
- Training (TRN) (*i*)
- Travel (TRV) (*j*)

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. (ii)

Alphanumeric Arrangement of Subjects (b)

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.

Planning and Arranging Files (A) (continued)

Developing a Subject File System for Paper Records (6) (continued)

Subject File Labels (c)

Labels should show the file code, subject, and date of the material in the file. Labeling in this manner ensures that folders are identified easily and can be returned to their proper file location quickly. Examples of labels with file codes for administrative and programmatic categories follow:

- **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 (7)

Each file custodian prepares an NRC Form 306 and, if necessary, NRC Form 306A, for all records under his or her purview, including records series that the organizational unit keeps in ADAMS. This plan identifies all records for which an office has responsibility. Exhibit 1 illustrates a typical Files Maintenance and Disposition Plan for use as a guide.

Preparation (a)

The file custodian prepares NRC Form 306 in triplicate and, if necessary, uses NRC Form 306A as a continuation sheet.

Planning and Arranging Files (A) (continued)

Files Maintenance and Disposition Plan (7) (continued)

Distribution (b)

The file custodian forwards the original and two copies of the files plan to the appropriate RLO for review and approval.

Review and Approval (c)

The RLO reviews the Files Maintenance and Disposition 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.

Updating the Files Plan (d)

The file custodian annually reviews the Files Maintenance and Disposition Plan and amends it, 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.

Files Maintenance Procedures for Paper Records (B)

Avoidance of Unnecessary Filing (1)

To avoid a waste of staff resources and storage equipment by filing unnecessary papers—

- 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)

Files Maintenance Procedures for
Paper Records (B) (continued)

Avoidance of Unnecessary Filing (1) (continued)

- 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 (a)

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 Records and FOIA/Privacy Services Branch (RFPSB), OIS, to obtain a copy of the handbook. (i)

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: (ii)

- 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. (a)

Files Maintenance Procedures for
Paper Records (B) (continued)

Categorizing Documents for Filing (2) (continued)

- 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. 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. *(b)*
- Write the subject-numeric file code in the upper right corner of the file copy. *(c)*
- 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. *(d)*

Case File Documents (b)

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.

- Preparing case file correspondence. Employees who prepare correspondence should place the case identification in the subject line of the letter. *(i)*
- Filing case file documents, using 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)*

Files Maintenance Procedures for
Paper Records (B) (continued)

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.

Avoid Unnecessary Cross-References (a)

Avoid making and filing unnecessary cross-reference forms as they take up valuable space and time.

Cross-Referencing Relocated Material (b)

A cross-reference also is 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.

Filing Classified and Sensitive Unclassified Records (4)

NRC offices and NRC contractors shall comply with the applicable security requirements for using, transmitting, storing, or disposing of classified and sensitive unclassified materials (e.g., paper, fiche, tapes, disks) (see MDs 12.2, "NRC Classified Information Security Program," 12.3, "NRC Personnel Security Program," 12.5, "NRC Automated Information 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 materials). The same general filing procedures used for nonsensitive records are used for filing classified and sensitive unclassified materials. However, the following safeguards apply:

Files Maintenance Procedures for
Paper Records (B) (continued)

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

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

Procedures for Certifying Copies of Official Records (5)

Definition and Purpose (a)

Certification is the process of confirming that a document is a true and correct copy of an original record maintained by NRC. NRC certifies copies of records when requested to do so by a representative from another Federal agency or by a member of the public.

Certification Procedures (b)

Certification procedures are as follows:

- 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 2), 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)

Files Maintenance Procedures for
Paper Records (B) (continued)

Procedures for Certifying Copies of Official Records (5)
(continued)

- 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 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 index of documents certified 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 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 (6)

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

Files Maintenance Procedures for
Paper Records (B) (continued)

Filing Equipment and Supplies (6) (continued)

records must be approved by the NRC Records Officer before it is purchased or exchanged. (See MD 13.1, "Property Management," Part V.)

Requirements for Requisitioning Filing Equipment (7)

Offices request filing equipment by submitting a requisition (NRC Form 30) to the Administrative Services Center (ASC), Division of Administrative Services (DAS), 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. RFPSB/OIS reviews and approves requests on the basis of these policies. (a)

RLOs are required to review requisitions for filing equipment that originate in their respective offices and to concur in the requisitions to indicate approval of the need for the equipment before submitting the requisitions to the ASC. 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 MD. (b)

RLOs are to coordinate with the requester and RFPSB, as appropriate, alternative ways of meeting the requester's needs, such as retiring the material to RFPSB 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 for
Paper Records (B) (continued)

Requirements for Requisitioning Filing Equipment (7)
(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 the Federal Records Center through RFPSB 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)

Files Maintenance Procedures for
Paper Records (B) (continued)

Requirements for Requisitioning Filing Equipment (7)
(continued)

- **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.

- **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 staffing costs and the effect 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 a section chief or above:

The measures prescribed in NRC Handbook 1 of MD 3.53, Part II, Section (B)(7)(e)(i), "Prerequisites for Requisitioning Filing Equipment," have been taken but have failed to produce the needed file space.

(Signed) Section Chief or Above

Files Maintenance Procedures for
Paper Records (B) (continued)

Requirements for Requisitioning Filing Equipment (7)
(continued)

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 14a (Requirement/Approved - Signature) of the requisition (NRC Form 30) when all requirements have been met and it is agreed that the equipment is needed. RFPSB will review and also sign in block 14a 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."
(f)

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

Records Disposition Objectives and
Procedures (C)

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

Records Disposition Objectives and Procedures (C) (continued)

Records Disposition Objectives (1) (continued)

improving the use of filing equipment and reducing maintenance costs (c)

Records Disposition Definitions (2)

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

Retirement (a)

Records are considered "retired" when they are sent to NARA, Washington National Records Center (WNRC), for storage.

Transfer (b)

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 transferred 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 be approved by the NRC Records Officer.

Destruction (c)

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—

Records Disposition Objectives and Procedures (C) (continued)

Records Disposition Definitions (2) (continued)

- Disposed of through the NRC paper recycling program whenever possible. Contact ADM for information on materials appropriate for recycling (i)
- 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 (d)

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," to the respective office RLO. This information is used by the RLO to compile the office's Annual Report of Records Holdings.

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, "NRC

Records Disposition Objectives and
Procedures (C) (continued)

Authority (3) (continued)

Comprehensive Records Disposition Schedule." 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 or period of time. 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)

Nonrecord material may be destroyed when its purpose is served. (c)

Official records are the sole property of the United States Government and are subject to the provisions of the "Records and Reports" section of 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 \$2000 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 \$2000 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)

Records Disposition Objectives and Procedures (C) (continued)

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 26, 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 Government Accountability Office and was authorized by the Archivist of the United States. The disposition schedules, as authorized, are legally mandatory (36 CFR Part 1228). When justified by NRC program 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 NARA. (b)

Files Cutoff Procedures (5)

Definition and Objectives (a)

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

Files cutoff is important because it controls the size of collective files in different file categories. If not cut off periodically, the content of folders grows until individual papers become hard to find. If files are cut off periodically, as their reference usefulness declines, older files can be progressively moved from active files space to lower cost storage space, such as the WNRC. (ii)

Records Disposition Objectives and Procedures (C) (continued)

Files Cutoff Procedures (5) (continued)

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 cut off by fiscal year. (ii)

Case or project files are often cut off upon termination of a transaction or 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 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 Washington National Records Center (6)

Description and Purpose (a)

The WNRC is an offsite records storage facility for preserving permanent NRC environmentally sensitive archival records, as well as for economical storing, rapidly retrieving, and eventually

Records Disposition Objectives and
Procedures (C) (continued)

Use of the Washington National Records Center (6) (continued)

disposing of NRC temporary records that have met their retention. The WNRC provides secure storage for all physical forms of classified and unclassified NRC records, such as hard copy (paper), magnetic media (tape and disk), and microform. (i)

The WNRC 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 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 Retirement. Inactive records that are not eligible for disposal are retired to the WNRC for storage until disposition. (i)

Notification. Headquarters organizations wishing to retire records must contact RFPSB to request a site review of the material proposed for retirement to the WNRC. Regional organizations wishing to retire records must contact their RLO, who will coordinate the relocation of records with RFPSB. (ii)

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

Containers. Upon approval of the retirement of records to the WNRC, 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. RFPSB also has containers available for retiring

Records Disposition Objectives and Procedures (C) (continued)

Use of the Washington National Records Center (6) (continued)

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 jobs. Exhibit 3 gives detailed instructions for preparing records for retirement to the WNRC. (v)

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

Transfer Request Form (NRC Form 35). The RFPSB provides staff in the originating office with access to the Archival Facility Accountability System (AFAS). RFPSB will also help personnel to use the AFAS upon request. Exhibit 4 gives detailed instructions for accessing the AFAS. (vii)

Physical Transfer. RFPSB arranges for the physical transfer of Headquarters' records to the WNRC. Regional offices must arrange for the transfer of their records to the WNRC and must coordinate the transfer with RFPSB. (viii)

Access to Records (c)

Access to records or information contained in records stored at the WNRC is restricted to the RLO, the alternate RLO, and individuals authorized to recall records.

Records Disposition Objectives and
Procedures (C) (continued)

Use of the Washington National Records Center (6) (continued)

Procedures for Recalling Retired Records (d)

RLOs, alternate RLOs, and designated file custodians (FCs) may recall records stored at the WNRC by using the AFAS. Requesting RLOs and designated FCs must enter the job number or the accession number for the desired material. Recall requirements specify that the entire container be returned. All requests for recalls are handled as expeditiously as possible. RFPSB maintains accountability for all material stored at the WNRC, including withdrawals and returns.

Destruction of Retired Records (e)

RFPSB will issue a memorandum, "Notice of Records Eligible for Destruction," to the appropriate RLO when records stored at the WNRC have met their legal retention period and are eligible for destruction in accordance with NUREG-0910. Upon notification of impending destruction, the RLO must ensure that there are no legal actions or pending requests under the Freedom of Information Act (FOIA) that would preclude the scheduled destruction of the records. The RLO must check the appropriate box on the memorandum to indicate that the records may be destroyed or that they must be retained. The memorandum then must be signed by both the RLO and a branch chief, division director, or office director in the organization with functional responsibility for the records and returned to RFPSB by the due date specified on the memorandum. (i)

If further retention of records is required, written justification, including a proposed new destruction date, must be provided to RFPSB with the signed memorandum. When concurrence in the destruction of the records is received by RFPSB, the records will

Records Disposition Objectives and Procedures (C) (continued)

Use of the Washington National Records Center (6) (continued)

be destroyed in accordance with the methods prescribed by NARA in 36 CFR 1228.58. Unclassified paper records are disposed of at an authorized paper recycler; classified or sensitive unclassified records are disposed of in accordance with MDs 12.2 and 12.6. (ii)

Transfer of Records to the National Personnel Records Center (7)

Records of Current Employees (a)

Official personnel folders and related payroll records are transferred to the National Personnel Records Center (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.

Records of Separated Employees (b)

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)," 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.

Payroll Records (c)

Because of their value as auxiliary personnel records, certain payroll records (such as individual earnings and time cards, final

Records Disposition Objectives and
Procedures (C) (continued)

**Transfer of Records to the National Personnel Records Center
(7) (continued)**

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 Employee Pay Record," and Item 9, "Leave Record."

Transfer of Official NRC Records to an Agreement State (8)

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, depending on 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 NRC, the appropriate RLO will prepare NRC Form 519, "Transfer of Official NRC Records to an Agreement State," by completing blocks 1 through 10 and 12, signing the form in block 14, 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 (e.g., program records of the Office of Nuclear Material Safety and Safeguards [NMSS] maintained by the OIS File Center), the NMSS RLO shall forward the NRC Form 519 to the RLO who has responsibility for physical custody of the records. The RLO will complete blocks 4 (file custodian) and 12.D (date of each file) of the form, sign the form in block 15, and forward the form to the NRC Records Officer for review and approval. (b)

Records Disposition Objectives and
Procedures (C) (continued)

Transfer of Official NRC Records to an Agreement State (8)
(continued)

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 11 (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 8115-00-117-8249, 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)

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 17 verifying receipt of the records and will return a signed copy of the form to the NRC Records Officer. (f)

Records Disposition Objectives and
Procedures (C) (continued)

**Transfer of Permanent Records to the National Archives of
the United States (9)**

Permanent NRC records having sufficient historical or other value to warrant their continued preservation by the Government are offered to the National Archives of the United States when they are eligible for transfer in accordance with NUREG-0910. RFPSB will issue an NRC memorandum, "Notice of Transfer of Permanent Records to the National Archives of the United States," and Standard Form 258, "Agreement to Transfer Records to the National Archives," to the appropriate RLO, when records are eligible for transfer to the National Archives. The RLO will coordinate the NRC memorandum with appropriate office management to ensure that the records are no longer needed for daily business and that there are no legal actions or pending FOIA requests that would preclude the scheduled transfer of the records. The remainder of the process for transfer is similar to that for destruction of retired records (see this part, Section (C)(6)(e), "Destruction of Retired Records"). When RFPSB receives concurrence, the records will be transferred in accordance with NARA methods prescribed in 36 CFR 1228.260. RLOs should note that upon transfer of NRC records to the National Archives, legal custody of the records passes to the National Archives of the United States and NRC will have no control over the storage, use, or examination of the records.

Transfer of State Government Records to 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 NRC when NRC reasserts all or part of its regulatory authority that had been relinquished to the State. NRC must receive from the State

Records Disposition Objectives and
Procedures (C) (continued)

Transfer of State Government Records to NRC (10) (continued)

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)
- As-built drawings and modifications of structures and equipment in restricted areas in which radioactive materials were used or stored and locations of possible inaccessible contamination (viii)

Records Disposition Objectives and
Procedures (C) (continued)

Transfer of State Government Records to NRC (10) (continued)

- 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 NRC must be identified by the NRC program or regional office that will assume the regulatory function. (b)

The records may be returned to 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 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," 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 OIS, the OIS RLO will verify receipt of the records by signing block 8 of the NRC Form 545. (d)

Loan or Donation of NRC Records to Non-Federal Recipients (11)

Loan or donation of NRC records can be a violation of law and records management regulations if procedures contained in 44 U.S.C. 2107 and 36 CFR 1228.60 and 1228.72 are not followed. These laws and regulations contain provisions that allow the loan

Records Disposition Objectives and
Procedures (C) (continued)

Loan or Donation of NRC Records to Non-Federal Recipients
(11) (continued)

or donation of NRC records to an appropriate person or institution. However, by statute, only the Archivist of the United States may decide if the loan or donation is in the public interest.

Donation of Temporary Records (a)

Permanent or unscheduled records of NRC may not be donated to non-Federal recipients. Temporary NRC records that are eligible for disposal in accordance with NUREG-0910 may be donated to an appropriate person or non-Federal organization with prior written approval from NARA. To obtain written approval from NARA, the RLO must submit a written request to the NRC Records Officer that contains the following information: (i)

- Name of the NRC office, division, or branch having custody of the records (a)
- Name and address of the proposed recipient(s) (b)
- Identification of the records series or system, including the inclusive date of the records, and the NUREG-0910 item number authorizing the disposal of the records (c)
- A statement providing evidence that the proposed transfer is in the best interest of NRC, the records will not be sold by the recipient, and the transfer will be made at no cost to NRC (d)
- Certification that the records contain no sensitive information (e)

Upon receipt and approval of a request to donate temporary records, the NRC Records Officer will submit a written request to NARA requesting approval of the donation. Upon approval, NARA

Records Disposition Objectives and
Procedures (C) (continued)

**Loan or Donation of NRC Records to Non-Federal Recipients
(11) (continued)**

will notify NRC in writing that approval has been granted, and the office having custody of the records can then proceed with the donation. If NARA determines that the proposed donation is contrary to public interest, the request will be denied and NRC will be notified that the records must be destroyed in accordance with NUREG-0910. (ii)

Loan of Permanent and Unscheduled NRC Records (b)

Permanent or unscheduled NRC records are not to be loaned to non-Federal recipients without prior written approval from NARA. This approval is not required for the temporary loan of permanent or unscheduled records between Federal agencies. NRC must execute a written loan agreement when proposing to loan permanent and unscheduled records to non-Federal recipients. The Archivist of the United States shall be a signatory on all loan agreements for permanent and unscheduled records. A loan agreement may not be implemented until the Archivist has approved and signed it. When records in an office are proposed for loan, staff should work with their office RLO and generate a written loan agreement that includes the following information: (i)

- Name of the agency and organization that has custody of the records (a)
- Name and telephone number of an NRC contact (b)
- Name and address of the proposed recipient (c)
- A description and inclusive date of the series or systems of records to be loaned (d)

Records Disposition Objectives and
Procedures (C) (continued)

Loan or Donation of NRC Records to Non-Federal Recipients
(11) (continued)

- NARA disposition job and item numbers covering the records (SF 115) (e)
- A statement containing the purpose and duration of the loan (f)
- A statement that specifies restrictions on the use of the records and how these restrictions will be administered by the recipient (g)
- Certification that the records will be stored according to the environmental specifications for archival records (h)

The RLO will provide the written loan agreement to the NRC Records Officer so that the appropriate approvals can be obtained. The NRC Records Officer is the NRC official responsible for coordinating and requesting approval for loan of permanent and unscheduled records with the Archivist of the United States. The NRC Records Officer will request approval for the loan by sending a letter to NARA transmitting the proposed loan agreement and specifying the name, title, and telephone number of the person NARA should contact about the proposed loan. (ii)

Annual Report of Records Holdings (12)

All NRC offices maintaining any file material must submit an annual report of records holdings that provides the number of cubic feet of records and nonrecord material 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 (C) (continued)

Annual Report of Records Holdings (12) (continued)

Form (a)

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

Submission (b)

Each fiscal year, RFPSB 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 RFPSB 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.

Microfilming (13)

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, whether they are to be maintained as the official record or not, and serve the purposes for which these records were created and maintained.

Permanent Records (a)

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.

Records Disposition Objectives and
Procedures (C) (continued)

Microfilming (13) (continued)

Temporary Records (b)

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 this MD.

Disposition of Personally Held Nonrecord Materials (14)

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

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 (e.g., Section 147 of the Atomic Energy Act of 1954, as amended; the FOIA; the Privacy Act; 10 CFR 2.390; 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 generated or signed 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 (see Part IV, "Procedures for Managing Commissioners' Records and Papers," of this handbook for guidance on 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)

Records Disposition Objectives and
Procedures (C) (continued)

Disposition of Personally Held Nonrecord Materials (14)
(continued)

- 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— (ii)
 - Are prepared for the individual's own use and have not been circulated to others in the course of transacting NRC business (a)
 - Are not required to be maintained by NRC policy or procedures (b)
 - Are retained or discarded at the author's sole discretion (c)
 - 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.") (d)

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

Records Disposition Objectives and
Procedures (C) (continued)

Disposition of Personally Held Nonrecord Materials (14)
(continued)

Extra copies of agency records are commonly regarded as nonrecord material and may be disposed of without reference to the Federal Records Act, which defines these records and prohibits their destruction or removal from Government custody without the approval of the Archivist of the United States. (f)

Preservation of Official Record Facsimile Transmissions (15)

Fax transmissions have the same potential to be official records as any other documentary materials made or received by NRC. They are official NRC records if they are made or received in connection with agency business and are appropriate for preservation as evidence of the agency's organization and activities, or because of the value of the information they contain. (a)

Additionally, some NRC personnel may send and receive fax transmissions via personal computer fax/modems and software. When a computer is used to send or receive facsimile documents, those that are official records must be printed on paper and placed in the appropriate file. (b)

Part III

Procedures for Revising the “NRC Comprehensive Records Disposition Schedule” (NUREG-0910)

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.

Annual Review (A)

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. (1)
- Items that should be deleted from the schedules because the records are no longer being created or maintained. (2)
- Retention periods that need to be changed. Changes are recommended only when the need is clearly indicated and justified. (3)
- The office director has changed the designated recordkeeping system for a series of records. (4)

Development of New or Revised Records Retention Schedules (B)

Retention schedules for the majority of the NRC records are contained in NUREG-0910. However, occasionally there are newly created file series or other records that cannot be paired with an

Development of New or Revised Records Retention Schedules (B) (continued)

existing schedule. In these instances, a recommendation to schedule the records for retention is initiated. (1)

NRC Form 331, "Records Retention and Disposition Authority," is used to initiate a request for a records disposition schedule for any unscheduled collection (or series) of records. Send the original and a duplicate of the form, approved by the appropriate 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. (2)

Review (C)

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 Government Accountability 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. (1)

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. (2)

Part IV

Procedures for Managing Commissioners' Records and Papers

Procedures for the management and disposition of records accumulated by Commissioners during their terms of office have been established to preserve a full record of each Commissioner's activities and decisions during his or her term of office, to safeguard against unauthorized or inadvertent release of classified or sensitive information, and to provide guidance on removal of nonrecord copies of documents.

General Requirements (A)

Upon leaving NRC, Commissioners may remove their personal papers and, after signing a confidentiality agreement (Exhibit 5), extra copies of certain categories of agency documents specified in this part, Section (D)(3), "Release of Documents Transferred to a Research Institution." 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 with NRC and subject to the limitations specified in this part, Section (D), "Transfer of Personal Papers and Nonrecord Materials." Nonpublic documents must be handled under the requirements of this part and the following relevant Federal statutes and NRC regulations and directives: (2)

- Section 147 of the Atomic Energy Act of 1954, as amended (a)
- Freedom of Information Act (FOIA) (b)
- Privacy Act (c)

General Requirements (A) (continued)

- 10 CFR 2.390 (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 (B)

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 NRC employee pertaining to agency business but that— (b)
 - Are prepared for the individual's own use and have not been circulated to others in the course of transacting NRC business (i)
 - Are not required to be maintained by NRC policy or procedures (ii)
 - Are retained or discarded at the author's sole discretion (iii)

Personal Papers, Agency Records,
and Nonrecord Material (B) (continued)

Personal Papers (1) (continued)

- 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.”) (iv)

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 this part, Section (B)(3), “Office Files,” 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)

Personal Papers, Agency Records,
and Nonrecord Material (B) (continued)

Office Files (3) (continued)

- 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 (ii)
- 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)

Office files do not include SECY papers or formally tracked memoranda (COMSECY papers). (b)

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 _____." (c)

Personal Papers, Agency Records,
and Nonrecord Material (B) (continued)

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 the Federal Records Act, 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 (C)

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)
- 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)

Maintenance and Disposition of
Personal Papers and Access to
Agency Records and Nonpublic
Materials (C) (continued)

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

NRC does not have authority over the disposition of or access to personal papers as defined in this part, Section (B)(1), "Personal Papers." 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 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 NRC. However, a former Commissioner may have access to the record copies after signing a confidentiality agreement (Exhibit 5). 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 this part, Section (E), "Access to and Use of Nonpublic Materials by a Former Commissioner." (b)

NRC Storage (3)

When a Commissioner leaves 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.

Maintenance and Disposition of
Personal Papers and Access to
Agency Records and Nonpublic
Materials (C) (continued)

NRC Storage (3) (continued)

Personal papers that have not been removed from NRC by the end of 2 years also are subject to destruction. (a)

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 NRC about whether to transfer the files that are allowed to leave the agency under this part, Section (D), "Transfer of Personal Papers and Nonrecord Materials." 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 Facilities and Security (DFS), Office of Administration (ADM); the Information and Records Services Division (IRSD), Office of Information Services (OIS); 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 (D)

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

Transfer of Personal Papers and
Nonrecord Materials (D) (continued)

Materials That Can Be Transferred (1) (continued)

and some nonrecord materials, and also may 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 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 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 this part, Section (D)(3), "Release of Documents Transferred to a Research Institution." (c)

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

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

Before removing any files from NRC, the departing Commissioner must complete a certification (Exhibit 6) that the following

Transfer of Personal Papers and
Nonrecord Materials (D) (continued)

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

categories of sensitive agency records have been separated from the files. These categories of nonpublic records will remain in the exclusive possession of NRC and will not be released subject to any confidentiality agreement: (a)

- Official record copies (i)
- Sensitive Unclassified Non-Safeguards Information (SUNSI) (ii)
- Classified information (iii)
- Personnel information, including Office of the Inspector General (OIG) reports relating to personnel matters (iv)
- Safeguards Information (v)
- Adjudicatory action papers (vi)
- Vote sheets of other members of the Commission not released to the public at the time of their vote (vii)
- Closed Commission meeting transcripts (viii)
- Nonpublic documents received from other Government agencies (ix)
- Nonpublic reports prepared by OIG (x)
- Other categories that the Commission might add as circumstances warrant (xi)

Transfer of Personal Papers and
Nonrecord Materials (D) (continued)

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

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)
- Information Security Branch (ISB), Division of Security Operations (DSO), Office of Nuclear Security and Incident Response (NSIR) (ii)
- NRC Freedom of Information Act and Privacy Act Officer, OIS (iii)
- OGC (iv)
- NRC Records Officer, OIS (v)
- NRC Historian, SECY (vi)
- When appropriate, Office of Enforcement (OE) (vii)
- OIG for the purpose of reviewing documents generated by the Inspector General. (viii)

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

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

Transfer of Personal Papers and
Nonrecord Materials (D) (continued)

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

Except for the limitations specified in Section (D)(2), "Categories of Nonpublic Files That Cannot Be Removed From NRC," 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 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 MD 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 these categories of records for the periods specified in Exhibit 7. The institution may make public these categories of records 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, 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)

In order that 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 (E)

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

Upon signing a confidentiality agreement (Exhibit 5), a former Commissioner may— (a)

- Remove documents accumulated during his or her term of office at NRC, including the categories of nonpublic materials listed in this part, Section (D)(3), “Release of Documents Transferred to a Research Institution” (i)
- Review documents in the categories specified in this part, Section (D)(2), “Categories of Nonpublic Files That Cannot Be Removed From NRC,” that are in agency storage (ii)

If a former Commissioner wishes access to documents from his or her term of office that cannot leave the agency, he or she should make a request, in writing, to the Secretary of the Commission. The Secretary, after consultation with the Commission and the General Counsel, has the authority to permit access to these materials. (b)

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. The Secretary, after consultation with the Commission and the General Counsel, will determine whether to make the requested documents publicly available. (c)

Classified Information (2)

Access to classified information that a former Commissioner originated, reviewed, signed, or received while in office can only

Access to and Use of Nonpublic
Materials by a Former
Commissioner (E) (continued)

Classified Information (2) (continued)

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 8 is an example of a letter requesting continued access to classified information and an example of the Chairman's response. (a)

A request for continued access to classified information will be coordinated by the Director of DFS, ADM, under NRC security directives and applicable statutes, Executive Orders, and implementing regulations. DFS 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. (b)

Public Information (3)

If a former Commissioner has not signed a confidentiality agreement under this part, Section (E)(1), "Access to Unclassified Information After Signing a Confidentiality Agreement," 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 this section of this part, requests for access to nonpublic documents will be handled under the procedures for FOIA requests.

Conflict-of-Interest Review (F)

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)

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 and Training," authorizes the General Counsel to serve as the agency's Designated Agency Ethics Official 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 designee 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 designee 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 designee does not grant

Conflict-of-Interest Review (F)
(continued)

limited access to nonpublic documents to the former Commissioner, the General Counsel or designee 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

NRC vital records are records essential to NRC's continued operations during a national emergency.

Categories of Vital Records (A)

There are two categories of vital records: "emergency operating records" and "legal and financial rights records." The Office of Nuclear Security and Incident Response is responsible for administering the emergency operating records that are needed in the first 24-48 hours of an emergency. OIS is responsible for administering the legal and financial rights function. Part V focuses solely on the OIS program to identify and protect legal and financial rights records.

Legal and Financial Rights Records

"Legal and financial rights records" are those records that are required for the preservation of the legal rights and interests of individual citizens and of the Federal Government. These records require protection to ensure that they are not subject to damage or destruction from an emergency or disaster affecting NRC's normal place of business. Copies of rights and interests records are safeguarded in the Washington National Records Center (WNRC). Examples of these records are records containing proof of ownership, financial interest (payroll, leave, social security, 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 (B)

The objectives of the NRC vital records program are to—

Objectives of the NRC Vital Records Program (B) (continued)

- Ensure that legal and financial rights records required to protect the Government and persons affected by its actions will be protected and accessible when NRC resumes business (1)
- Safeguard legal and financial rights records identified by offices as essential to the preservation of the legal rights and interests of individual citizens and the Federal Government in a Federal Records Center or other suitable location (2)
- Ensure that vital records are evaluated on the basis of their essentiality in protecting the rights and interests of citizens and the Government (The records must be adequate for use by individuals other than those who would generally use them.) (3)
- Employ control techniques to ensure that needed records are current and available when required (4)
- Ensure that records will be easily retrievable and maintained in usable condition (5)
- Ensure that the necessary finding aids are also available as required (6)
- Ensure that a current inventory of protected records is maintained and is available to the appropriate office Records Liaison Officers (RLOs) for reference (7)

Duties (C)

Each NRC program office is responsible for the implementation and operation of the vital records program within its area of responsibility. (1)

Duties (C) (continued)

RLOs are responsible for ensuring that copies of all records selected for retention and protection are collected and submitted on schedule to the NRC Records Officer for transfer to the appropriate storage site. (2)

Vital Records Plans and Reviews (D)

Vital Records Plan (1)

Each office and region shall submit a vital records plan (NRC Form 340). The plan will identify the legal and financial rights records that the office or region believes should be safeguarded at the WNRC. (a)

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. When the NRC Records Officer approves the plan, OIS, in conjunction with the NRC office or region, will prepare an NRC Form 340A, "Vital Records Plan Identification and Implementation Data," for each record item identified on the approved plan. This form will contain all of the instructions and data necessary to transmit and update the records at the appropriate storage location. OIS will forward a copy of each approved NRC Form 340, with its associated NRC Form 340A for each approved item, to each office and regional RLO. (b)

Annual Vital Records Plan Update (2)

OIS 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 this part, Section (D)(1), "Vital Records Plan."

Implementation of the Plan (E)

Records Preparation (1)

To the extent possible, vital records selected for retention at the WNRC 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 NRC Form 340A is responsible for the timely transmittal of vital records to the NRC Records Officer.

Updating Rights and Interest Records at the Washington National Records Center (3)

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

Part VI

Procedures for Managing Contractor Records

Contractor records consist of all documentary materials created or received by an NRC contractor or a U.S. Department of Energy (DOE) contractor performing work for NRC under the DOE/NRC Memorandum of Understanding 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.

Categories of Contractor Records

Three Categories of Contractor Records (A)

- **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, 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 (FAR Subpart 4.7), 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 by the contractor (FAR Subpart 4.7) and are

Categories of Contractor Records (continued)

Three Categories of Contractor Records (A) (continued)

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 likely to be Federal records that are necessary for retention by NRC to provide adequate and proper documentation of its activities. These records developed under contract with the agency, created for the NRC's use and delivered to or falling under the legal control of NRC are, in most cases, the contractual property of NRC. These records do not, however, become agency records for the purposes of the Freedom of Information Act until they come into the actual physical possession of 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 (B)

Contractor records developed under contract with the agency and described as Category 3 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.

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

Categories of Contractor Records (continued)

Special Requirements for Category 3 Records (B) (continued)

the approved NRC records schedules. Accordingly, the sponsoring office must—

- Specify in its Statement of Work (SOW) or in a separate attachment to the NRC Form 400 special requirements and appropriate instructions for the disposition of contractor records. (a)
- Indicate in its SOW or the request for procurement action (RFPA) attachment 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)
- Indicate in its SOW or RFPA attachment that 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 approved NRC records schedule in the “NRC Comprehensive Records Disposition Schedule,” NUREG-0910. (c)
- Include a brief statement to identify other agency requirements for the records when another agency has continuing need for NRC contractor records beyond NRC requirements. 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

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

These procedures will help individuals who generate and use electronic records, as well as those who develop and operate large electronic information systems and electronic recordkeeping 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. These procedures are consistent with the National Archives and Records Administration (NARA) regulations specified in 36 CFR 1228.270, "Electronic Records," and NARA regulations specified in 36 CFR Part 1234, "Electronic Records Management."

General (A)

Definitions (1)

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 (a)
- The confirmation that magnetic tape, computer output microfilm (COM), or hard copy produced from electronic records is a true copy of the original record (b)

General (A) (continued)

Definitions (1) (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 information system. A system that contains and provides access to computerized Federal records and other information.

Electronic mail (e-mail). Messages sent or received in electronic form by remote computer terminals.

Electronic mail message. A document created or received on an electronic mail system, including brief notes, more formal or substantive narrative documents, and any attachments, such as word processing and other electronic documents that may be transmitted with the message.

Electronic mail system. A computer application used to create, receive, and transmit messages and other documents. Excluded from this definition are file transfer utilities (software that transmits files between users but does not retain any transmission data), data systems used to collect and process data that have been organized into data files or databases on either personal computers or mainframe computers, and word processing documents not transmitted on an e-mail system.

General (A) (continued)

Definitions (1) (continued)

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 recordkeeping system. An electronic system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition.

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

Transmission and receipt data

- Transmission data. Information in e-mail systems regarding the identities of sender and addressee(s), and the date and time messages were sent. (a)
- Receipt data. Information in e-mail systems regarding date and time of receipt of a message, and/or acknowledgment of receipt or access by addressee(s). (b)

General Requirements (2)

The requirements for electronic records are applicable to all NRC staff and are based on NARA regulations, "Electronic Records Management" (36 CFR Part 1234) and the "ADAMS [Agencywide Documents Access and Management System] Desk Reference Guide," OIS. They apply to all electronic information systems and electronic recordkeeping systems, including ADAMS, the electronic recordkeeping system that maintains many of the NRC's unclassified official programmatic and administrative records.

General (A) (continued)

Objectives (3)

The following objectives apply to electronic records:

- To establish guidance and procedures for creating, maintaining, using, and disposing of electronic records (a)
- To ensure that the staff is knowledgeable about electronic records and the authority to retain or destroy them (b)
- To ensure adequate documentation of the organization, functions, policies, decisions, procedures, and essential transactions of NRC when employing electronic records applications (c)
- To ensure that the disposition of the records is planned during the early development of electronic information systems (d)
- To describe special requirements for electronic records authorized for permanent retention (e)
- To establish minimum labeling and filing requirements to ensure retrieval of electronic records (f)
- To provide an environmental storage facility for inactive electronic records and backup tapes (g)
- To ensure that all electronic information systems are covered by NRC Schedules (NRCS) or General Records Schedules (GRS) and that procedures are established for preparing schedules for new and unscheduled electronic information systems (h)

Creation of Electronic Records (B)

Records Created at All Staff Levels (1)

Electronic records may be generated or stored by staff of 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. To ensure that Federal records are properly identified and created, staff must be aware that electronic records can include e-mail messages, transmittal and receipt data, directories, and distribution lists, and that these types of information are potentially record material.

Electronic System Creation (2)

There are two types of electronic systems: “electronic information systems” and “electronic recordkeeping systems.” Electronic information systems produce, use, or store data files and disposition instructions for the data that shall be incorporated into the system’s design. Electronic recordkeeping systems maintain the official file copy of text documents on electronic media and must meet specific requirements outlined in 36 CFR 1234.22. All electronic systems must be scheduled and the scheduling process begins with a records management assessment. The assessment begins by completion of NRC Form 616, “Notification of Electronic System Design or Modification,” and NRC Form 637, “NRC Electronic Information System Records Scheduling Survey,” which are forwarded to the Records and FOIA/Privacy Services Branch (RFPSB) during the development phase of the information system. Submission of these forms initiates records management review to identify recordkeeping requirements and records scheduling.

Creation of Electronic Records (B) (continued)

Records Status of Electronic Data (3)

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, Section (D), "Identifying and Distinguishing Between Record and Nonrecord Materials").

Examples of Record and Nonrecord Electronic Material (4)

Examples of record and nonrecord electronic data are provided below to assist in distinguishing between the two types of information.

Record Material in Electronic Form (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 also is maintained in hard copy (iii)
- E-mail that concerns agency business or documents agency organization, functions, policies, decisions, procedures, operations, or other activities of the Government (iv)
- E-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)

Creation of Electronic Records (B) (continued)

Examples of Record and Nonrecord Electronic Material (4) (continued)

- 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 (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)
- E-mail messages and attached files that consist of extra copies of documents kept only for convenience of reference (iii)
- 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

Creation of Electronic Records (B) (continued)

Examples of Record and Nonrecord Electronic Material (4) (continued)

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 e-mail messages from an individual to other individuals in the agency that do not relate to agency business (v)

ADAMS: NRC's Repository for Many Official Agency Records (5)

On April 1, 2000, offices began keeping in ADAMS the documents designated in the office's ADAMS records disposition schedules and the NRC Administrative Forms and Correspondence Matrix. Each records series in NUREG-0910, "NRC Comprehensive Records Disposition Schedule," identifies the designated recordkeeping system for those records. Once official agency records (OARs) are placed in ADAMS, they are filed by OIS in records management software to place them under records management control.

Disposition of Electronic Record Material (6)

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 lost information, 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 information systems, including those operated for the Government by a contractor, must be reviewed

Creation of Electronic Records (B) (continued)

Disposition of Electronic Record Material (6) (continued)

for disposition scheduling as soon as possible, but no later than 1 year after the system becomes operational.

Disposition of Electronic Nonrecord Material (7)

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 Most Offices Within Agencies," 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 of RFPSB, OIS.

Official Record Copy of Text Documents Retained Electronically (8)

Electronic recordkeeping 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)

Creation of Electronic Records (B) (continued)

Official Record Copy of Text Documents Retained Electronically (8) (continued)

- For the disposition of the documents including, when necessary, the requirements for transferring permanent records to NARA (see 36 CFR 1228.270) (iv)

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

Creation of Data Files (9)

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

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

Creation of Electronic Records (B) (continued)

Creation of Data Files (9) (continued)

Office staff with lead responsibility for the system must maintain adequate and up-to-date technical documentation for each electronic information 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)

ADAMS Records Management (10)

OIS operates records management software to manage the retention and disposition requirements of OARs maintained in ADAMS.

Standards for Maintaining Electronic Records (C)

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)
- 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:

- Authorized life of the records as determined during the scheduling process (a)
- Maintenance necessary to retain the records (b)
- Cost of storing and retrieving the records (c)
- Records density (d)
- Access time needed to retrieve stored records (e)
- Portability of the medium that runs on equipment offered by multiple manufacturers (f)

Standards for Maintaining
Electronic Records (C) (continued)

Selecting the Storage Medium (2) (continued)

- Whether the medium meets current applicable Federal Information Processing Standards (FIPS) (g)

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. This type of media does not meet the current applicable FIPS.

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 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 of the original records. (b)

Standards for Maintaining
Electronic Records (C) (continued)

Backup Copies of Electronic Records (6) (continued)

Backup tapes to large electronic information 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 RFPSB for storage at the Washington National Records Center (WNRC).
(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)

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 1800 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 1800 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

Standards for Maintaining
Electronic Records (C) (continued)

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

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)

- File title (i)
- Dates of creation (ii)
- Dates of coverage (iii)
- Recording density (iv)
- Type of internal labels (v)
- Volume serial number, if applicable (vi)
- Number of tracks (vii)
- Character code and software dependency (viii)

Standards for Maintaining
Electronic Records (C) (continued)

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

- Information about block size and the reel sequence number if the file is part of a multireel set (ix)

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)

- Name of the organizational unit responsible for the records (i)

Standards for Maintaining
Electronic Records (C) (continued)

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

- A descriptive title of the contents (ii)
- Dates of creation (iii)
- Security classification, if applicable (iv)
- Identification of the software and hardware used (v)

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 this part, Section (B)(7), "Disposition of Electronic Record Material." (c)
- Offices retaining electronic records in an environment other than the WNRC are responsible for the required testing and periodic rewinding of the media. (d)

Standards for Maintaining Electronic Records (C) (continued)

Retention of Inactive Electronic Records (9) (continued)

- 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)
- RFPSB will coordinate the transfer of electronic records to the Federal Records Center. (g)
- The storage media containing permanent electronic records must meet the criteria of this handbook. (h)
- Electronic records of short-term value may be retained and destroyed in the originating office without being transferred to RFPSB. (i)

Records Disposition for Electronic Records (D)

Schedules (1)

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

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

The information in electronic information systems, including those systems operated for the Government by a contractor, must be

Records Disposition for
Electronic Records (D) (continued)

Schedules (1) (continued)

scheduled for disposition as soon as possible but no later than 1 year after the system becomes operational. (c)

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

- 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 RFPSB. (i)
- 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," along with NARA Form 14028, "Information System Description," through the office RLO to the Chief of RFPSB. RFPSB will prepare the SF 115, "Request for Records Disposition Authority," 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. (ii)

RFPSB will review annually all electronic information 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

Records Disposition for Electronic Records (D) (continued)

Schedules (1) (continued)

descriptions and 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, RFPSB will submit an SF 115 to NARA. (e)

Disposing of Electronic Records (2)

Sensitive, Proprietary, and National Security Information

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.

Archival Records in Electronic Format (E)

Media Requirements for Permanent Records (1)

Permanent electronic records that are transferred to the National Archives must be on NARA-approved media and media-less transfer forms that meet the requirements of 36 CFR 1228.270. These forms are open reel magnetic tape, magnetic tape cartridge; Compact-Disk, Read Only Memory (CD-ROM); and File Transfer Protocol (FTP). Detailed requirements follow.

- NRC may transfer electronic records to the National Archives on magnetic tape as follows: (a)

Archival Records in Electronic Format (E)
(continued)

Media Requirements for Permanent Records (1) (continued)

- Open reel magnetic tape must be on ½ inch 9-track tape reels recorded at 1600 or 6250 bpi that meet ANSI X3.39-1986, American National Standard: Recorded Magnetic Tape for Information Interchange (1600 CPI, PE) or ANSI X3.54-1986, American National Standard: Recorded Magnetic Tape for Information Interchange (6250 CPI, Group Coded Recording), respectively. (i)
- Tape cartridges may be 18-track 3480-class cartridges. The 3480-class cartridge must be recorded at 37,871 bpi that meet ANSI X3.180-1990, American National Standard: Magnetic Tape and Cartridge for Information Interchange -- 18-Track, Parallel, ½ inch (12.65 mm), 37871 cpi (1491 cpm), Group-Coded -- Requirements for Recording. The data must be blocked at no more than 32,760 bytes per block. (ii)
- Tape cartridges may be digital linear tape (DLT) tape IV cartridges that must be recorded in an uncompressed format. Transferring scheduled electronic records using a Tape Archive (TAR) utility requires OIS to contact NARA's Electronic and Special Media Records Services Division (NWME), 8601 Adelphi Rd., College Park, MD 20740-6001, or by e-mail to cer@nara.gov to initiate transfer discussions. The data must be blocked at no more than 32,760 bytes per block and must conform to the standards cited in the table as follows: (iii)

Archival Records in Electronic Format (E)
 (continued)

Media Requirements for Permanent Records (1) (continued)

If you are copying the records on the following—	then the standard below applies:
DLT tape IV with a DLT 4000 drive	ISO/IEC 15307:1997, First edition, December 1, 1997, Information technology—Data interchange on 12,7 mm 128-track magnetic tape cartridges—DLT 4 format (20 GB native, 40 GB compressed, 1.5 MB/sec).
DLT tape IV with a DLT 7000 drive	ISO/IEC 15896:1999, First edition, December 15, 1999, Information technology—Data interchange on 12,7 mm 208-track magnetic tape cartridges—DLT 5 format (35 GB native, 70 GB compressed, 5.0 MB/sec).
DLT tape IV with a DLT 8000 drive	ISO/IEC 16382:2000, First edition, May 15, 2000, Information technology—Data interchange on 12,7 mm 208-track magnetic tape cartridges—DLT 6 format (40 GB native, 80 GB compressed, 6.0 MB/sec).

Archival Records in Electronic Format (E)
(continued)

Media Requirements for Permanent Records (1) (continued)

- Compact-Disk, Read Only Memory (CD-ROM). NRC may use CD-ROMs to transfer electronic records scheduled to be preserved in the National Archives. The files on such a CD-ROM must comply with the format and documentation requirements specified below. (b)
 - CD-ROMs used for this purpose must conform to ANSI/NISO/ISO 9660-1990, American National Standard for Volume and File Structure of CD-ROM for Information Exchange. (i)
 - Permanent electronic records must be stored in discrete files. The CD-ROMs transferred may contain other files, such as software or temporary records, but all permanent records must be in files that contain only permanent records. NRC staff must indicate at the time of transfer if a CD-ROM contains temporary records and, if so, where those records are located on the CD-ROM. NRC must also specify whether NARA should return the CD-ROM to NRC or dispose of it after copying the permanent records to an archival medium. (ii)
 - If permanent electronic records that NRC disseminates on CD-ROM exist on other media, such as magnetic tape, NRC and NARA will mutually agree on the most appropriate medium for transfer of the records to the National Archives of the United States. (iii)
- NRC may use FTP to transfer electronic records scheduled for preservation at the National Archives of the United States. The files transferred by FTP must comply with the format and documentation requirements specified below. (c)

Archival Records in Electronic Format (E)
(continued)

Media Requirements for Permanent Records (1) (continued)

- FTP file structure may use the 64-character Joliet extension naming convention only when letters, numbers, dashes (—), and underscores (_) are used in the file and/or directory names, with a slash (\) used to indicate directory structures. Otherwise, FTP file structure must conform to an 8.3 file naming convention and file directory structure as cited in ANSI/NISO/ISO 9660-1990, American National Standard for Volume and File Structure of CD-ROM for Information Exchange. (i)
- Permanent electronic records must be stored in discrete files, separate from temporary files. All permanent records must be transferred in files that contain only permanent records. (ii)
- When permanent electronic records may be disseminated through other types of mechanisms (e.g., magnetic tape, CD-ROM), NRC and NARA will mutually agree on the most appropriate medium for transfer of the records to the National Archives and will select the appropriate files for FTP transfer. Several important factors may limit the use of FTP as a transfer method, including the number of records, record file size, and available bandwidth. NARA will retain approval for appropriateness of FTP as the selected mechanism for each scheduled records transfer based on certain criteria (file size, FTP transfer rate, record classification, etc.). Sending electronic records scheduled for transfer to NARA through FTP requires OIS to contact NARA's Electronic and Special Media Records Services Division (NWME), 8601 Adelphi Road, College Park, MD 20740-6001, or by e-mail to cer@nara.gov to initiate the transfer discussions. (iii)

Archival Records in Electronic Format (E)
(continued)

Media Requirements for Permanent Records (1) (continued)

- Each permanent electronic records transfer must be preceded with a signed Agreement to Transfer Records to the National Archives of the United States (Standard Form 258) sent to the Office of Records Services -- Washington, DC (NWME), 8601 Adelphi Road, College Park, MD 20740-6001. (iv)

Format Requirements for Permanent Records (2)

NRC may not transfer to the National Archives electronic records that are in a format dependent on specific hardware and/or software. The records shall be written in ASCII or EBCDIC with all control characters and other non-data characters removed (except as specified below). The records must not be compressed unless NARA has approved the transfer in the compressed form in advance. In such cases, NARA may require NRC to provide the software to decompress the records.

- Data files and databases shall be transferred to the National Archives as flat files or as rectangular tables, that is, as two-dimensional arrays, lists, or tables. All "records" (within the context of the computer program, as opposed to a Federal record) or "tuples," that is, ordered collections of data items, within a file or table should have the same logical format. Each data element within a record should contain only one data value. A record should not contain nested repeating groups of data items. The file should not contain extraneous control characters, except record length indicators for variable length records, or marks delimiting a data element, field, record, or file. If records or data elements in different files need to be linked or combined, then each record must contain one or more data elements that constitute primary and/or foreign keys enabling valid linkages between the related records in separate files. (a)

Archival Records in Electronic Format (E) (continued)

Format Requirements for Permanent Records (2) (continued)

- Electronic textual documents shall be transferred as plain ASCII files; however, such files may contain Standard Generalized Markup Language (SGML) tags. (b)

Documentation Requirements for Permanent Records (3)

Documentation adequate to identify, service, and interpret electronic records that have been designated for preservation by NARA shall be transferred with the records. This documentation shall include completed NARA Form 14097, "Technical Description for Transfer of Electronic Records," and a completed NARA Form 14028, "Information System Description Form," or their equivalents. Where possible, NRC will submit required documentation in an electronic form that conforms to the provisions of this section. Documentation for data files and databases must include record layouts, data element definitions, and code translation tables (codebooks) for coded data. Data element definitions, codes used to represent data values, and interpretations of these codes must match the actual format and codes as transferred.

Acceptance of Electronic Records by the Courts (F)

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).) In addition, effective December 1, 2006, updated versions of certain rules in the *Federal Rules of Civil Procedure* will force attorneys to consider electronic records issues regarding discovery, production, preservation, format, privilege protection (including "claw-back" procedures) and waiver, reasonable accessibility, destruction, spoliation, and so on. The following

Acceptance of Electronic Records by the Courts (F) (continued)

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), OIS senior staff, and the records management staff to ensure legal admissibility of the records. (4)

Security of Electronic Records (G)

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 to protect against information loss. (2)
- Appropriate personnel should be trained to safeguard sensitive or classified electronic records. (3)

Security of Electronic Records (G) (continued)

- 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)
- NRC offices and contractors shall comply with the applicable security requirements for using, transmitting, storing, or disposing of classified and sensitive unclassified materials (e.g., paper, fiche, tapes, disks) (see Management Directives (MDs) 12.2, "NRC Classified Information Security Program," 12.3, "NRC Personnel Security Program," 12.5, "NRC Automated Information 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 materials). The same general filing procedures used for nonsensitive records are used for filing classified and sensitive unclassified materials. (5)
- 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 and NRC MD 12.5). (6)

Electronic Mail (E-Mail) (H)

E-Mail Record Standards (1)

As a result of the increased use of e-mail to conduct Federal agency business, on August 28, 1995, NARA issued its Final Rule, "Electronic Mail Systems," and GRS 20, "Disposition of Electronic Records," which contain new standards and guidance for managing Federal records created or received on e-mail systems. The new standards and guidance affect all Federal agencies. (a)

Agencies are required to make and preserve records containing adequate and proper documentation of the organization, functions,

Electronic Mail (E-Mail) (H) (continued)

E-Mail Record Standards (1) (continued)

policies, decisions, procedures, and essential transactions 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. Accordingly, certain e-mail communications are Federal records and must be filed in the appropriate recordkeeping system. The NRC's e-mail system currently does not meet the requirements of an electronic recordkeeping system. This circumstance requires that staff preserve e-mail communications determined to be Federal records either in ADAMS or on paper in the file collection that contains related documentation. (b)

NARA regulations require that— (c)

- NRC staff review each incoming and outgoing e-mail message to determine if it is a Federal record by using the same criteria used for information created or received on any other media. (i)
- E-mail messages and attachments that are records must be maintained in a recordkeeping system that groups related records together and ensures that the records are preserved for their full authorized retention period. (ii)

Recordkeeping systems that include e-mail messages must meet the following requirements or Federal records may not be stored in them: (d)

- Capability to group related records into classifications according to the nature of the business purposes the records serve (i)
- Capability to permit easy and timely retrieval of both individual records and files (ii)

Electronic Mail (E-Mail) (H) (continued)

E-Mail Record Standards (1) (continued)

- Capability to retain the records in a usable format for their required retention period (iii)
- Accessibility by individuals who have a business need for information contained in the system (iv)

Messages on e-mail systems that are not recordkeeping systems may be destroyed only after the record and appropriate transmission data have been preserved by copying it to a recordkeeping system as required by GRS 20-14, NUREG-0910. (e)

Offices describe the required documents, including e-mail records, for business operations and activities under their purview throughout their policy directive system, their office procedure manuals, and other internal office policies and procedures. (f)

Identifying E-Mail Records (2)

Staff shall evaluate each incoming and outgoing e-mail message (and attachments) when it is created or received, and determine whether it is a Federal record by using the same criteria used to determine record material of any other media. If one conducts business using e-mail, he or she generally creates e-mail records. (a)

E-mail communications are Federal records when they meet both of the following conditions: (b)

- They are created or received by an NRC employee to transact official agency business and (i)
- They are preserved, or are appropriate for preservation, as evidence of the agency's organization and activities, or because of the value of the information they contain. (ii)

Electronic Mail (E-Mail) (H) (continued)

Identifying E-Mail Records (2) (continued)

The communication types listed below are Federal records and require preservation: (c)

- Communications related to programs, policies, organizations, decisions, decisionmaking, minutes, or agendas. (i)
- Messages that contain unique information that explains why the agency made a decision or took an action. (ii)
- Messages that direct one to take an action or that one uses to direct another to act. (iii)
- Drafts of records (e.g., SECY papers) circulated via e-mail for approval, comment, or action that are significantly changed in the final version based on comments written on the draft and those comments provide insight as to the basis for an agency position or decision and are not documented in the official record. (iv)
- Information generated or acquired by NRC through e-mail pertaining to an inspection of a licensee's facility that contains unique information, the rationale for an NRC decision, or guidance that is not documented in the official record. (v)

The communication types listed below are not Federal records and do not require preservation: (d)

- Communications that provide little or no evidence of agency activities, (i)
- Communications that have no documentary value, and (ii)
- Insignificant communications that are facilitative in nature, for example, casual inquiries about the status of an activity, requests for routine information, transmittals that forward

Electronic Mail (E-Mail) (H) (continued)

Identifying E-Mail Records (2) (continued)

documented information but do not require action, replies to an e-mail inquiry about information that is documented in the official files. (iii)

E-mail messages that are not official records but may be subject to pending requests under the Freedom of Information Act and litigation and court orders must be preserved until no longer needed for such purposes. (e)

Preserving E-Mail Records (3)

When e-mail messages fit the criteria for a Federal record, the applicable office staff must take the following actions to preserve them. E-mails can be preserved in ADAMS electronically utilizing WordPerfect, but staff must ensure that the conversion to WordPerfect produces an exact replica of the original document content. WordPerfect preservation steps are outlined in the ADAMS Desk Reference Guide dated March 1, 2005, page 5-34, "Adding E-Mail Messages to ADAMS." Office staff can also add them by utilizing the following procedures to preserve them:

- Print e-mail records (e-mail messages and attachments, including the transmission and receipt data) on paper and file in the appropriate official file station or in ADAMS for recordkeeping requirements. The minimum transmission and receipt data that must be retained with each e-mail record are— (a)
 - Name of message sender (i)
 - Message addressee(s) (ii)
 - Date of the message (iii)
 - Complete organizational affiliation of the sender and addressee(s) (iv)

Electronic Mail (E-Mail) (H) (continued)

Preserving E-Mail Records (3) (continued)

- Staff must print the mail envelope information page to preserve the transmission and receipt data because the name(s) of the addressee(s) is (are) shown only as a User ID on the e-mail message screen. (b)
- **Note:** The NRC's mail envelope information page can show when a message reaches the mailbox of each addressee and when each addressee opens the message. It is not necessary to preserve this additional data for most e-mail records. However, if this additional transmission and receipt data are required by your management, by MDs, or other office guidance (e.g., for time-sensitive communications and communications that require verification of message receipt), staff must print the information page after obtaining the additional data. This procedure also must be followed when the information is required for proper message context. (c)
- After printing a hard copy of the e-mail message, its transmission and receipt data, and ensuring that all other information has been included, attach the outgoing e-mail communications to the related incoming e-mail communications (latest communication in front), forward to the Document Processing Center (DPC) for processing into ADAMS, or file in the appropriate office file station. (d)

Destroying/Deleting Messages From the E-Mail System (4)

E-mail messages composed of record material should be deleted from the e-mail system after capture in ADAMS or after a hard copy is produced for recordkeeping purposes as specified by GRS 20-14 (NUREG-0910). (a)

Nonrecord e-mail messages should be deleted from the e-mail system as soon as they are no longer needed. (b)

Part VIII

Micrographics Management

These procedures set the standards necessary to ensure the effective management of micrographic assets within NRC. The intent is to assist operating officials at NRC in meeting Federal Guidelines for micrographic management. For further information and a listing of technical standards for the creation, storage, handling, and inspection of micrographic records, see 36 CFR Part 1230, "Micrographic Records Management."

Definitions (A)

Archival microfilm. A photographic film that meets the National Archives and Records Administration (NARA) standards for the preservation of records with permanent value when stored in accordance with NARA regulations at §1230.20(a). Such film must conform to film designated as LE 500 in ANSI/NAPM IT9.1-1996.

Archival records. Federal records determined to have sufficient value to warrant their preservation in the National Archives as permanent records.

Background density. The opacity of the area of the microform not containing information.

Computer-assisted retrieval (CAR) system. A records storage and retrieval system, normally microfilm-based, that uses a computer for indexing, automatic markings such as blips or bar codes for identification, and automatic devices for reading those markings and, in some applications, for transporting the film for viewing.

Computer output microfilm (COM). Microfilm containing data converted and recorded from a computer.

Facility. An area used exclusively to make or copy microforms.

Definitions (A) (continued)

Microfilm. (1) Raw (unexposed and unprocessed) fine-grain, high-resolution photographic film with characteristics that make it suitable for use in micrographics; (2) the process of recording microimages on film; or (3) a fine-grain, high-resolution photographic film containing microimages.

Microform. Any form containing microimages.

Microimage. A document such as a page of text or a drawing that is too small to be read without magnification.

Permanent records. Federal records that have been determined by NARA to have sufficient value to warrant continued preservation in the National Archives of the United States.

Records storage facility. A Federal Records Center or other offsite facility used by an agency to store insufficient value to warrant permanent preservation by the National Archives.

Temporary records. Records that have been determined by the Archivist of the United States to have insufficient value to warrant permanent preservation by the National Archives.

Unscheduled records. Records for which the final disposition has not been approved by the Archivist of the United States.

Use or work copies. Duplicates of original film made to be used for reference or for duplication on a recurring or large-scale basis. These are not preservation master copies, which must be stored unused as specified in 36 CFR 1230.20.

Micrographic System Studies (B)

Every project to create a new system of microfilm or microfiche requires as a prerequisite a micrographic systems study. Offices considering a new micrographic project must fill out NRC Form 358, "Request for Micrographics/CD-ROM Services," and submit

Micrographic System Studies (B) (continued)

it to the Records and Archives Services Section to initiate the micrographics systems study.

Standards for Archival Microfilm Production (C)

The creation of archival microfilm is a technically sophisticated process that includes extensive preparation of the records for filming, microfilming the records, processing (developing) the microfilm, and duplicating the microfilm. At every stage in this process there are numerous standards that archival microfilm must meet set by Federal regulations. The production of archival microfilm must meet the requirements specified in NARA regulations at 36 CFR Part 1230, including conducting a review of the permanent file and documenting the results in a log.

Standards for Storage of Archival Microfilm (D)

Archival microfilm must be stored under conditions specified in 36 CFR Part 1230, as follows:

- Microforms stored in roll form must be wound on cores or reels made of noncorroding materials such as nonferrous metal or inert plastics. Their metals may be used provided they are coated with a corrosion-resistant finish. Plastics and coated metals that may exude fumes during storage may not be used. Rubber bands should not be used for confining film on reels or cores. If paper bands are used, the paper shall meet preservation standards cited in 36 CFR Part 1230. (1)
- Storage containers for microforms shall be made of inert materials such as metal or plastic. Containers made of paper products should be avoided unless they meet preservation standards cited in 36 CFR Part 1230. The containers shall be

Standards for Storage of Archival Microfilm (D) (continued)

closed to protect the microforms from environmental impurities and improper humidities. (2)

- Microforms should be stored in closed housings such as drawers, or on shelves or racks enclosed by doors. Alternatively, open shelves and racks may be used if the microforms are in closed containers. Material used for storage housings should be noncombustible and noncorrosive, such as anodized aluminum, stainless steel, or steel with baked-on nonplasticized synthetic resin lacquer. Films of different types should not be stored in the same storage housing. (3)
- Storage rooms or vaults for archival microforms shall be fire-resistant and must not be used for other purposes such as storage of other materials, office space, or working areas. Nonsilver copies of microforms must not be stored in the same storage area as silver gelatin archival microfilm originals or duplicate copies. Protection from damage by water shall be accomplished by storing permanent record microforms above reasonably anticipated flood stages. (4)
- The value of photographic film kept for archival or permanent purposes makes it advisable to provide a storage room or vault separate from offices, work areas, or temporary storage facilities. It may be necessary to install automatic temperature and humidity control systems in storage rooms to ensure consistency of the environmental conditions that follow. (5)
 - The relative humidity of the storage room or vault shall remain a constant 35 percent RH, plus or minus 5 percent. (a)
 - Temperature shall not exceed 70 degrees Fahrenheit. Rapid and wide-range temperature changes shall be avoided and shall not exceed a 5-percent change in a 24-hour period. (b)

Standards for Storage of Archival Microfilm (D) (continued)

- Solid particles, which may abrade film or react with the image, shall be removed by mechanical filters from air supplied to housings or rooms used for archival storage. (c)
- Gaseous impurities such as peroxides, oxidizing agents, sulphur dioxide, hydrogen sulfide, and others that cause deterioration of microforms shall be removed from the air by suitable washers or absorbers. Archival microforms shall not be stored in the same room with nonsilver gelatin films. They also shall not be stored in another room using the same ventilation system because gases given off by the other films may damage or destroy the images on the silver archival films. (d)

Standards for Handling and Inspecting Archival Microfilm (E)

Proper handling of film is important. Good housekeeping and cleanliness are essential. Permanent films should be handled by their edges, and the wearing of thin cotton or nylon gloves by the handlers is a good practice. (1)

The following are the procedures to be followed for film: (2)

- Archival film must be inspected initially in accordance with standards cited in 36 CFR 1230.22.B. All film must be inspected when 2 years old. After the initial 2-year inspection, microfilm produced after 1990 must be inspected every 5 years and microfilm produced before 1990 must be inspected every 2 years. (a)
- To facilitate inspection, maintain an inventory of microfilm listing each microform series/publication by production date, producer, processor, format, and results of previous inspections must be maintained. (b)

Standards for Handling and
Inspecting Archival Microfilm (E) (continued)

- The elements of the inspection shall consist of— (c)
 - An inspection for aging blemishes; (i)
 - A rereading of resolution targets; (ii)
 - A remeasurement of density; and (iii)
 - A certification of the environmental conditions under which the microforms are stored, as specified in 36 CFR 1230.22.d. (iv)
- The agency must prepare an inspection report and send a copy to NARA in accordance with 36 CFR 1230.28(b). The inspection report must contain a summary of the inspection findings, including— (d)
 - A list of batches by year that includes the identification numbers of microfilm rolls and microfiche in each batch; (i)
 - The quantity of microforms inspected; (ii)
 - An assessment of the overall condition of the microforms; (iii)
 - A summary of any defects discovered, for example, redox blemishes or base deformation; and (iv)
 - A summary of corrective action taken. (v)
- A detailed inspection log created during the inspection that contains the following information: (e)
 - A complete description of all records inspected (title; roll or fiche number or other unique identifier for each unit of film inspected; security classification, if any; and inclusive

Standards for Handling and Inspecting Archival Microfilm (E) (continued)

dates, names, or other data identifying the records on the unit of film); (i)

- The date of inspection; (ii)
 - The elements of inspection (see this section); (iii)
 - Any defects uncovered; and (iv)
 - The corrective action taken. (v)
- If an inspection shows that a master microform is deteriorating, the agency must make a silver duplicate. (f)

Storing, Handling, and Inspecting Temporary Microfilm (F)

Temporary microform records should be stored under conditions that will ensure their preservation for their full retention period. Although there is no formal requirement for inspecting microfilm of temporary records, it is prudent to do so.

Use of Master Microform (G)

The “camera” original, film produced by filming the records, is the master microform. No master microform shall be used for any purposes other than the limited production of duplicates or the addition or deletion of images, if the microform is of the undatable format. Duplicate copies of the master are the only acceptable reference, research, and working copies for any user. (1)

An archival set consisting of the master microform and one duplicate copy is submitted to the National Archives for permanent records. (2)

Micrographics Services (H)

Microfilming Requests (1)

Forward all requests for the microfilming of documents to the Records and Archives Services Section (RASS) using NRC Form 358. RASS will review the request and advise the requester on the feasibility of the request. Major microfilming projects may require a system study and a cost-benefit analysis. RASS will request additional information when required. The RASS review will include identifying the records disposition schedules that apply to the material and resolve any records management issues before approving the request. Placing record collections on microfiche that have already passed their authorized retention period will generally not be approved.

Microfilm Equipment Requests (2)

All requests for procurement of micrographics equipment and related supplies shall be prepared on NRC Form 30 and forwarded to the Property and Supply Branch. No equipment shall be procured without the concurrence of RASS.

Other Microfilm-Related Requests (3)

Requests for existing documentation on microfiche, duplication of microfiche, or reprints from microfiche or aperture cards are to be forwarded, using NRC Form 358, to RASS. Requests for repair of micrographics equipment are to be initiated by contacting RASS on 301-415-7227.

Classified Microfiche (I)

Classified microfilm and microfiche should be handled in accordance with Management Directive 12.2, "NRC Classified Information Security Program."

Glossary

Agencywide Documents Access and Management System (ADAMS). ADAMS is an electronic information system that maintains the Nuclear Regulatory Commission's (NRC's) unclassified official programmatic and administrative records in a centralized electronic document repository. ADAMS is designed to meet National Archives and Records Administration (NARA) regulations. Beginning April 1, 2000, NRC Headquarters and regional offices no longer created or maintained paper-based record collections because the electronic documents in ADAMS became the "official records" of the agency. The "official record" of documents maintained in ADAMS is a Portable Document Format (PDF) file or a Tagged Image File Format (TIFF) file with an associated document profile containing "fielded" data to describe the document and its attributes. In addition, any electronic data related to a digital signature and/or electronic data that evidence final NRC management and staff concurrence in a document is linked to and considered part of the official record.

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 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.

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.

Glossary (continued)

Federal official. Any individual employed by the Federal Government.

Files cutoff. The segregation of active from inactive files.

Freedom of Information Act (FOIA) agency records. 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. Record does not include an object or article such as a structure, furniture, a tangible exhibit or model, a vehicle, or piece of equipment. For more information regarding agency records under the FOIA, refer to Management Directive 3.1, "Freedom of Information Act."

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

Glossary (continued)

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.

Official record copy. The final signed outgoing and internal correspondence document complete with all attachments and the original concurrences of the involved NRC officials, the original of incoming correspondence, and the original or action copies of reports, completed forms, maps, photographs, and other documents.

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.

Privacy Act agency records. 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 NRC, including but not limited to the individual's education, financial transactions, medical history, employment history, or criminal history, and that is retrieved by 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."

Glossary (continued)

Recordkeeping requirements. All statements in statutes, regulations, and agency directives or authoritative issuances providing general and specific guidance for Federal agency personnel on particular records to be created and maintained by the agency.

Recordkeeping system. A manual or automated system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition.

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).

Exhibit 1

NRC Forms 306 and 306A

NRC Form 306, "Files Maintenance and Disposition Plan"

PAGE 1 OF

U.S. NUCLEAR REGULATORY COMMISSION

FILES MAINTENANCE AND DISPOSITION PLAN

PURPOSE: 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.

INSTRUCTIONS:

FILE CUSTODIAN: Prepare in triplicate. Forward the original and two copies to the Office Records Liaison Officer (RLO) for review and approval. Identify the appropriate recordkeeping system for each series of records.

RECORDS LIAISON OFFICER: 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)
 Brenda Shelton

2. ORGANIZATION (Office/Division/Branch)
 OIS/IRSD/RFPSP

3. RECORDS LIAISON OFFICER
 A. TYPED NAME
 Latravetta Lee
 B. SIGNATURE

4. LOCATION OF FILES
 A. BUILDING
 TWEN
 B. ROOM
 5F54

6. FILE PLAN

A. ITEM NO.	B. TITLE OR DESCRIPTION OF RECORDS SERIES	C. RECORDKEEPING SYSTEM (Check applicable column for each entry)			D. DISPOSITION (Insert the applicable records disposition schedule number and the complete authorized disposition authority, including the NARA Job Number and Item Number for ADAMS records. If schedule cannot be found, enter "None".)
		PAPER	ADAMS	OTHER MEDIA (Specify)	
1.	Reading Files	X			NRCS 1-15, Cutoff close of fiscal year. Destroy when 1 year old or when reference value has been exhausted, whichever is sooner.
2.	Office Administrative Files	X			GRS 23-1. Destroy when 2 years old, or when no longer needed, whichever is sooner.
3.	Program Correspondence Files Below the Office Director Level			X	NI-431-00-17, Item 6b(4) Cutoff electronic files at close of fiscal year. Destroy 10 years after cutoff.

PRINTED ON RECYCLED PAPER
 NRC FORM 306 (6-2005)

Exhibit 1 (continued)
 Form 306A, "Files Maintenance and
 Disposition Plan" (Continuation)

U.S. NUCLEAR REGULATORY COMMISSION		FILE CUSTODIAN	
FILES MAINTENANCE AND DISPOSITION PLAN (Continuation)		Brenda Shelton	
A. ITEM NO.	B. TITLE OR DESCRIPTION OF RECORDS SERIES (Continuation)	C. RECORDKEEPING SYSTEM (Check applicable column for each entry)	
		ADAMS	OTHER MEDIA (Specify)
		PAPER	D. DISPOSITION Insert the applicable records disposition schedule from NUREG-0910, Rev. 3, for paper records, and the NADA Job Number and Item Number for ADAMS records. If schedule cannot be found, enter "None."

Exhibit 2

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


	<p>UNITED STATES NUCLEAR REGULATORY COMMISSION WASHINGTON, D.C. 20555-0001</p>	
<p><u>CERTIFICATION OF COPY OF OFFICIAL RECORD</u></p>		
<p>Part 1 To be completed by the Records Liaison Officer</p>		
<p>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.</p>		
<p><u>Document Date</u> 04/27/2005</p>	<p><u>Document Title</u> Record Schedule</p>	<p><u>No. of Pages</u> 1</p>
<p>_____ Date</p>	<p>_____ Signature -- Records Liaison Officer</p>	
	<p>OIS/IRSD/RFPSB _____ Office/Division/Branch</p>	
<p>Part 2 To be Completed by the Secretary/Assistant Secretary Office of the Secretary of the Commission</p>		
<p>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 is a true and correct copy of the official record that is maintained by the NRC in the regular course of its business.</p>		
<p>_____ Date</p>	<p>Signature -- <input type="checkbox"/> Secretary of the Commission <input type="checkbox"/> Assistant Secretary of the Commission</p>	
<p>Enclosure(s): As stated</p>		
<p>NRC FORM 513 (3-96) NRCMD 3.53</p>		

Exhibit 3

Instructions for Preparing Records for Retirement to the Washington National Records Center (WNRC)

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 WNRC. 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.

The container used to retire hard copy (paper) records to the WNRC 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 the Records and FOIA/Privacy Services Branch (RFPSB), OIS. For environmentally sensitive records that cannot be stored or transported in cardboard records center boxes (e.g., computer tapes and disks, microform, etc.), RFPSB will assist staff with obtaining media containers for various types and sizes of media as required.

The "Authorized Disposition" instructions defined in NUREG-0910, "NRC Comprehensive Records Disposition Schedule," must be followed when retiring records to the WNRC. For example, the "Authorized Disposition" instructions defined in NUREG-0910 for Allegation and Inquiry Files maintained at the division level for the Office of Investigations (NRC Schedule Number II, Part 16, Item 1) specify that the files be cut off when closed, held in the originating office for 2 years, and then retired to the WNRC. The files will then be destroyed 10 years after cutoff. When boxing these records for retirement, only files closed during one fiscal year (October 2002 through September 2003, for example) should be retired as one job. Files retired during FY 04 (October 2003 through September 2004) will begin a new box and will be retired as a separate job.

- Use only records center boxes for retiring hard copy records to the WNRC.
- All requests to retire records to the WNRC must be approved by RFPSB before records center boxes or media containers will be supplied.

Exhibit 3 (continued)

- 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 and job number.
- DO NOT use paste-on labels on records center boxes.
- DO NOT pack different series of records in the same container.
- DO NOT overstuff boxes.

Exhibit 3 (continued)
Detailed Instructions for Preparing Records for
Retirement to the WNRC

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

RFPSB will assist staff with obtaining media containers designed to accommodate—

- IBM 3480 (or equivalent) cartridges
- 2-inch computer reel tapes
- 16-inch computer disk pack
- 8-inch floppy disks
- 4-inch floppy disks
- 2-inch floppy disks

Exhibit 3 (continued)

- 16mm microfilm cartridges
 - 35mm microfilm cartridges
 - 4-inch by 6-inch microfiche
2. Contact RFPSB to request delivery of the required number of records center boxes.
 3. Upon receipt of the records center boxes, 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 corner.

Exhibit 3 (continued)

5. Access the Archival Facility Accountability System from the desktop (see Exhibit 4 of this handbook).
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. Upon approval of a job, RFPSB will arrange for pickup and delivery of the containers to the WNRC.

Exhibit 4

Instructions for Using the Archival Facility Accountability Systems (AFAS)

The AFAS is accessed through a desktop application. All requests for this system should be directed to the Records and FOIA/Privacy Services Branch (RFPSB), Office of Information Services (OIS).

General Instructions for Using AFAS

- Enter the system by double-clicking the “AFAS” icon from the desktop and wait for the program to open.
- Under action, choose “Add a Pending Job.”
- The transferring office completes all fields under the “Job Info” and “Job Info 2” tabs before the Add Job button is clicked.
- Each separate records series must be submitted as a separate job.
- Records in the same records 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 using AFAS, pack the records in records center boxes or media containers provided by RFPSB.
- Do not type information in capital letters. Only use capital letters when necessary for acronyms or first letters of words in titles.

Detailed Instructions for Using AFAS

1. Identify the division, branch, location of records, requester, and the title of record series. The user’s name, phone number, and office are the defaults when accessing AFAS under Job Info 1.
2. Click the appropriate radio button to view lists of NRC records schedules or the General Records Schedules (GRS) and choose the schedule that identifies the records being transferred to storage. Upon choosing the records schedules, the records schedule number automatically is displayed.

Exhibit 4 (continued)

3. Complete the General Description of Records box under Job Info 2. The classification of records, recording medium and type of containers are the defaults. However, you may click the appropriate button to change the default.
4. Add Job. A message will be displayed indicating that units can now be added.
5. Click the OK button to proceed to the next screens.
6. Enter total number of containers for the job. This number can be increased or decreased at anytime.
7. Each container should consist of folders, documents, books, and so on. Each item placed in the container is considered a unit and should be counted separately. The total number of units in the container is placed in the box under Units on this screen.
8. Beginning with container one, double-click inside the box under Ctn# or the box under Units to activate the container for typing the contents. Once you see the container in the Active Carton# box (a blue box), click the Add Unit button at the bottom of the screen.
9. On the next screen (Add a Unit), the information about the records must be typed. The following are important points to remember when describing retired files:
 - a. The "Add a Unit" screen should be accessed each time for description of a folder, binder, report, and so on (i.e., units), in a container. Provide a description for each separate file folder, binder, report, tape, and so forth, that is in the container. A record center box that contains 12 file folders will require 12 separate descriptions (one for each folder).
 - b. 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.
 - c. 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

Exhibit 4 (continued)

to separate files or use any other method that provides a clear separation. DO NOT type a continuous string of text without a clear indication of where the description of one file ends and another begins.

- d. 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.
 - e. 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.
 - f. Clearly define any identification numbers that pertain to the files. If a number is a docket number, type it in space for "Docket Number"; "License Number" only when applicable.
 - g. Place the Licensee Name, Plant, City, State, and so on, in the appropriate fields on the screen only when it applicable to the records.
 - h. The File/Record Description field should be used to identify the appropriate description of the records in the container. 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.
 - i. DO NOT use abbreviations or acronyms without first defining them.
10. For each entry screen, include a date or a date span for the records on that screen. (NOTE: The unit cannot be added unless the date field is completed).
11. When all the records in container number one have been described, scroll down to container two and continue identifying contents of containers as stated previously.
12. Describe the records in container number two in the same manner as container number one.

Exhibit 4 (continued)

13. Repeat this process until all containers have been identified. Double-click the container number you want to be active and type the description and the date span of the records for each container to be retired in the records series. (NOTE: Container contents should be entered systematically.) Do not begin with container one and skip to the last container or list them in reverse order.
14. When all the records have been described, the job must be submitted to the Records Liaison Officer who reviews and submits it to reviewing Records Analyst for approval.
15. When the job is approved by the Records Analyst, additional steps will be taken to arrange for pickup of the records.

Exhibit 5 Confidentiality Agreement

I, [name of executing official], hereby acknowledge that in accordance with Part IV of NRC Handbook 3.53, "NRC Records Management Program," 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 Part IV(D)(1) and (2) 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, 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 6 Certification

In accordance with Part IV of 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 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 7
Time Limitations on the Release of
Nonpublic Documents

Type of Record	Release Date
Memoranda or other records originated by another Commissioner or his or her personal staff	12 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 Part IV(D)(2) of Handbook 3.53	12 years from the date of the document
Staff requirements memoranda that do not fall within the categories listed in Part IV(D)(2) of Handbook 3.53	12 years from the date of the document
Draft responses to members of Congress	5 years from the date of the response
Enforcement actions	5 years from the date of the document
Legal memoranda, other than memoranda in categories listed in Part IV(D)(2) of Handbook 3.53, prepared by the Office of the General Counsel	12 years from the date of the document
Reports prepared by the Office of Investigations	12 years from the date of the document
Any other documents that have not been publicly released by NRC and that are less than 2 years old when received by the research institution	12 years from the date of the document
Copies of office files	12 years from the date of the document

Exhibit 8

Request to the Chairman for Access to Classified Information and the Chairman's Response

[Name]
Chairman
U.S. Nuclear Regulatory Commission
Washington, D.C. 20555-0001

Dear Chairman [Name]

Executive Order 12958 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 makes a determination that allowing continued access to such classified information is consistent with the interest of national security.

As you know, NRC has or will retain all the classified information in my files. Since I wish to have continued access to that information, I request that you make the determination required by the Executive Order as set forth in the enclosure to this letter.

Sincerely,

Enclosure:
As stated

Exhibit 8 (continued)
Continued Access to NRC Classified Information
by Former NRC Official [Title/Name]

Section 4.1(c) of Executive Order 12958, "National Security Information," states that access to classified information* may be granted only to perform or assist in a lawful and authorized governmental function. However, Section 4.3(b) of the Executive Order permits me to allow [Title/Name] continued access to classified information contained in items (he or she) originated, reviewed, signed, or received while serving as a Presidential appointee, if I determine that it would be consistent with the interest of national security.

I have made this determination 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. (Name) will safeguard the information in a manner consistent with the Executive Order 12958 and 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, [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 only in a room with access controlled by the NRC's Division of Facilities and Security and according to other procedures specified by it, as appropriate.

Date

[Name]
NRC Chairman

*NRC classified information includes National Security Information covered by Executive Order 12958 and Restricted and Formerly Restricted Data covered by the Atomic Energy Act of 1954, as amended.

ADAMS Document Processing

Handbook 2
of MD 3.53

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Part I Introduction

Overview/Description of ADAMS (A)

The Agencywide Documents Access and Management System (ADAMS) is an electronic information system that maintains most of the NRC's unclassified program-related records in a centralized electronic document repository. ADAMS is designed to meet National Archives and Records Administration (NARA) regulations. (1)

The "official record" of documents maintained in ADAMS is an electronic file with an associated document profile containing "fielded" data to describe the document and its attributes. (2)

Content of ADAMS (B)

On November 1, 1999, the NRC terminated processing agency documents through the existing document management systems, the Nuclear Documents System (NUDOCS) and the Bibliographic Retrieval System (BRS), and began processing documents through ADAMS. Beginning April 1, 2000, ADAMS became the official repository for the unclassified program-related records of the agency, except for unclassified Safeguards Information (SGI) and records determined to be inappropriate for electronic maintenance. (1)

Staff should maintain in ADAMS most newly created or received NRC unclassified program "Official Agency Records (OARs)," that is, "Federal Records" as defined in 44 U.S.C. 3301, which were kept in paper recordkeeping systems before April 1, 2000, except for unclassified SGI and records determined to be inappropriate for electronic maintenance. (2)

The following records are appropriate for maintenance in ADAMS. (3)

Content of ADAMS (B) (continued)

- **Program Records of Administrative Offices (a)**

NRC administrative offices create both program and administrative records. The program records created by administrative offices document the program activities of the administrative offices and are appropriate for capture in ADAMS. Examples of such records include Department of Energy (DOE) work orders, interagency agreements, and procurements; Freedom of Information Act (FOIA) and Privacy Act requests released to the public; and those pertaining to forms, Office of Management and Budget (OMB) report clearances, and records management.

- **Program Records of Program Offices (b)**

Program records are those records NRC creates or receives to perform the unique functions that stem from the mission of the agency. For example, correspondence with licensees regarding their licenses are program records. Each NRC program office and region maintains collections of program records unique to their functions. ADAMS keeps the OAR of most but not all of NRC's unclassified program records.

- **Sensitive Unclassified Non-Safeguards Information (SUNSI) (c)**

The NRC generates and receives many categories of documents containing Sensitive Unclassified Non-Safeguards Information (SUNSI). SUNSI is divided into seven groups and includes any information the loss, misuse, modification, or unauthorized access of which can reasonably be foreseen to harm the public interest, the commercial or financial interests of the entity or individual to whom the information pertains, the conduct of NRC and Federal programs, or the personal privacy of individuals. (i)

Content of ADAMS (B) (continued)

The seven SUNSI groups are (1) Allegation Information, (2) Investigation Information, (3) Security-Related Information, (4) Proprietary Information, (5) Privacy Act Information, (6) Federal-, State-, Foreign Government- and International Agency-Controlled Information, and (7) Sensitive Internal Information. (ii)

With some exceptions (Allegation Information, Investigation Information, and some Federal-, State-, Foreign Government- and International Agency-Controlled Information), most documents containing SUNSI can be placed into ADAMS. (iii)

If the document qualifies for ADAMS, the "Document Sensitivity" must be profiled with one of the sensitive values (Sensitive or Sensitive-Copyright, as appropriate) and the document "Availability" marked as "Non-Publicly Available." Access rights are to be assigned to user groups with a need to access the information to perform their official duties. (iv)

For the most current information on the SUNSI that is appropriate for ADAMS, consult the NRC's internal Web site: <http://www.internal.nrc.gov//sunsi/index.html>. (v)

- **Nonrecord Reference Materials (d)**

Nonrecord reference materials are U.S. Government-owned documentary materials excluded from the legal definition of records (44 U.S.C. 3301), either by failing to meet the general conditions of record status or by falling under one of three specific categories that consist of extra convenience copies, stocks of publications, and library or museum materials. (i)

Staff must use the ADAMS "Reference" Document Class when adding nonrecord reference materials to ADAMS and must manage the Reference class documents that they place in ADAMS, deleting them from ADAMS as soon as they are no longer needed. (ii)

Content of ADAMS (B) (continued)

On the basis of the conditions noted above and the categories specifically cited in the law, nonrecord reference materials include— (iii)

- Information copies of correspondence, directives, forms, and other documents on which no administrative action is recorded or taken. (a)
- Routing slips and transmittal sheets adding no information to that contained in the transmitted material. (b)
- Tickler, followup, or suspense copies of correspondence, provided they are extra copies of the originals. (c)
- Duplicate copies of documents maintained in the same file. (d)
- Extra copies of printed or processed materials for which complete record sets exist, such as current and superseded manuals maintained outside the office responsible for maintaining the record set. (e)
- Catalogs, trade journals, and other publications that are received from other Government agencies, commercial firms, or private institutions and that require no action and are not part of a case on which action is taken. (f)
- Physical exhibits, artifacts, and other material objects lacking evidential value. (g)

The following records may not be maintained in ADAMS: (4)

- **Classified Information (a)**

Any documents or records, either draft or final, containing any category of classified information at any level of classification, such as Top Secret, Secret, or Confidential. Classified

Content of ADAMS (B) (continued)

information is also any information that is designated as National Security Information, Restricted Data, or Formerly Restricted Data.

- **Unclassified Safeguards Information (SGI) (b)**
 - Information that specifically identifies the detailed security measures of a licensee or an applicant for the physical protection of special nuclear material, or security measures for the physical protection and location of certain plant equipment vital to the safety of production or utilization facilities. (i)
 - Although documents containing unclassified SGI may not be kept in ADAMS, unclassified transmittal letters are added to ADAMS if they are part of a record series for which ADAMS maintains the OAR. (ii)
- **Sensitive Unclassified Non-Safeguards Information (SUNSI) (c)**
 - Documents containing Sensitive Unclassified Non-Safeguards Information (SUNSI) that NRC generates and receives. SUNSI is divided into seven groups and includes any information the loss, misuse, modification, or unauthorized access of which can reasonably be foreseen to harm the public interest, the commercial or financial interests of the entity or individual to whom the information pertains, the conduct of NRC and Federal programs, or the personal privacy of individuals. (See this part, Section (B)(3)(c), for the seven SUNSI groups and the NRC SUNSI Web site address.) (i)
 - Documents within the groups of Allegation Information, Investigation Information, and some Federal-, State-, Foreign Government- and International Agency-Controlled

Content of ADAMS (B) (continued)

Information (NOFORN [No Foreign Dissemination Information], Naval Nuclear Propulsion Information, and Law Enforcement Sensitive). (ii)

- **Export-Controlled Information (ECI) (d)**

Export-Controlled Information (ECI), which includes activities, items, and information related to the design, development, engineering, manufacture, production, assembly, testing, repair, maintenance, operation, modification, demilitarization, destruction, processing, or use of items with a capacity for substantial military application utility. ECI is governed by the International Traffic in Arms Regulations (ITAR) (under the jurisdiction of the State Department) and, possibly, the Export Administration Regulations (EAR). It is unlawful under the ITAR to send or take ECI out of the U.S. or to disclose, orally or visually, or transfer ECI to a foreign person inside or outside the U.S.

- **No Foreign Dissemination Information (NOFORN) (e)**

NOFORN, which is used to designate information not appropriate for release to foreign nationals. Normally, this information relates to either critical nuclear design information or foreign intelligence.

- **Personal Papers (f)**

Personal papers, which are documentary materials of a private or nonpublic character that do not relate to, or have an effect upon, the conduct of agency business. Personal papers are excluded from the definition of Federal records and are not owned by the Government. Examples of personal papers include materials relating solely to an individual's private affairs, such as diaries, journals, and personal correspondence.

Content of ADAMS (B) (continued)

- **Selected Administrative and Programmatic Records (g)**
 - Personnel, training, travel, and time and attendance records and building, space and equipment services records, which are not kept in ADAMS but continue to be maintained in paper. (i)
 - Administrative records that are personnel, security, space management, training, travel, and time and attendance records (ii)
 - Allegation case files of the Office of Nuclear Material Safety and Safeguards, Office of Nuclear Reactor Regulation (NRR), Office of Nuclear Regulatory Research, and the regions (iii)
 - Allegation files and investigation case files of the Office of the Inspector General (iv)
 - Chronological files, office files, and schedules of daily activity of the Chairman and the Commissioners (v)
 - Commission decisionmaking files; Commission (SECY) paper comment folders, and Commission action memoranda comment folders of SECY (vi)
 - Reactor operator licensing case files (Part 55 docket files) of NRR and the regions (vii)
 - Investigation case files of the Office of Investigations (viii)

ADAMS Libraries (C)

An ADAMS Document Library collects and stores electronic documents created or received by NRC staff in the course of conducting the official business of the agency. The libraries are accessed through the ADAMS Document Manager. All libraries

ADAMS Libraries (C) (continued)

have document folders and subfolders. Document folders provide a visual means to organize documents stored within each ADAMS library. Each document folder has security properties to define and control access to the folder. (1)

ADAMS has two libraries inside the NRC firewall and two libraries outside the NRC firewall. (2)

- The two libraries inside the firewall are used solely by NRC staff. (a)
 - Main Library (i)

The Main Library contains, with limited exceptions, NRC's program-related OARs that are kept in ADAMS and are related to the following:

- NRC policy, direction, and oversight activities. (a)
- Nuclear reactor licensing, operation, safety, research, and inspection and enforcement activities. (b)
- Radioactive waste licensing, operation, safety, research, and inspection and enforcement activities. (c)
- Nuclear materials licensing, safety, research, and inspection and enforcement activities. (d)
- DOE work orders, interagency agreements, and other related records. (e)
- Records of the Office of the General Counsel, the Office of the Secretary, the Atomic Safety Licensing Board Panel, and the Office of Commission Appellate Adjudication. (f)

ADAMS Libraries (C) (continued)

- Records maintained in the Electronic Hearing Docket (EHD). (*g*)
- Program records of the Offices of Congressional Affairs, International Programs, State Programs, Public Affairs, and the Regional Public Affairs Offices. (*h*)

– Legacy Library (ii)

The Legacy Library contains the bibliographic descriptions of the older programmatic records that were originally maintained in NUDOCS and the BRS. More recent documents that were available in electronic text through NUDOCS are also included in the Legacy Library. Some records have abstracts or full text files associated with them.

- The two ADAMS libraries outside the firewall are for public use. (*b*)

– Public Legacy Library (i)

The Public Legacy Library contains the bibliographic descriptions of the older programmatic records that were originally maintained in the BRS. Some records have abstracts or full text files associated with them.

– Publicly Available Records System (PARS) Library (ii)

This library contains publicly available OARs copied from the ADAMS Main Library after October 1999. This library is routinely updated with copies of new OARs from the Main Library that are designated as publicly available. The staff and public can access these documents from the NRC's external Web site, using a standard Web browser. Staff can also access the PARS library directly from the Document Manager screen.

Part II

Document Processing Center

Introduction (A)

Both external documents received by NRC and internally generated documents are processed into ADAMS through the Document Processing Center (DPC). The DPC is the central document intake operation for NRC Headquarters. The DPC provides central document processing and dissemination of documents that are made available electronically using ADAMS. (1)

Internally generated documents and documents submitted to NRC using Electronic Information Exchange (EIE) or in CD-ROM format are sent to the DPC for review and, if appropriate, processing into ADAMS. (2)

The Headquarters DPC also completes processing of documents added to ADAMS by the regional capture and intake stations. (3)

The DPC shares the responsibility of proper filing of documents within ADAMS for records disposition purposes with the NRC File Center. The File Center files the program records for NRC program offices (i.e., the Office of Nuclear Material Safety and Safeguards, the Office of Nuclear Reactor Regulation, the Office of International Programs, the Office of Nuclear Regulatory Research, and the Office of State and Tribal Programs). The DPC has responsibility for filing the program records for NRC administrative offices (i.e., all other offices). (4)

Document Receipt (B)

At NRC Headquarters, the NRC Document Control Desk (DCD), the Office of the Executive Director for Operations (OEDO), and the Office of the Secretary (SECY) serve as the primary receipt points for externally generated incoming paper documents for processing. In the regions, the regional capture/intake stations

Document Receipt (B) (continued)

assume that role. The DPC makes several scheduled daily pickups from the DCD, the NRC File Center, OEDO, and SECY. In addition, the DPC receives externally generated documents in electronic format from NRC stakeholders via the NRC EIE program. NRC staff-generated documents are provided to the DPC as single electronic files (stand-alone documents), multiple electronic files (two or more electronic files document packages), mixed packages (combination of electronic file(s) and paper) or paper documents that are only available in paper. (1)

The two processing categories for externally generated documents received by the DPC for processing are— (2)

- **"Expedited"** - Processing completed within 3 to 6 working hours after receipt by the DPC. (a)
- **"Normal"** - Processing completed within 8 working hours after receipt by the DPC. (b)

Processing is complete for an externally generated document when the electronic regulatory information distribution system (e-RIDS) notification is distributed. (3)

Document Preparation (C)

The DPC prepares documents for scanning by removing all staples, binders, paper clips, and so on. The document preparation staff provides documents to the scanning staff for processing by processing category.

Normal Processing (1)

Normal processing involves the following steps. The DPC performs some or all of these steps depending on the origin and media of a document.

- Scanning to generate digitized images. (a)

Document Preparation (C) (continued)

Normal Processing (1) (continued)

- Adding to ADAMS. (b)
- Completing the Document Profile and security access rights. (c)
- Performing quality control on the Document Profile and security access rights. (d)
- Declaring as Official Agency Records (OARs) in accordance with established guidelines and procedures. (e)
- Notifying recipients through an e-RIDS e-mail message containing a link to the document. (f)

Special Processing (2)

- Color Documents (a)
 - Color image files are generally two to three times larger than an image file for the same document scanned in black and white and usually color adds no value to understanding the information presented in the document. All color documents are scanned in black and white unless the document is not perceivable and understandable when viewed without color. Examples of color documents that are scanned in color include graphs, bar charts, and so on, that depend exclusively on differences in color to understand the information and data being presented. (i)
 - Staff should submit color documents that meet the above criteria to the DPC with a justification for color scanning. (ii)
- Nonstandard-Size Documents (Oversized) (b)

Document Preparation (C) (continued)

Special Processing (2) (continued)

- For large documents (300 or more pages), the DPC may need to divide the document into pieces in order to properly scan and store it in ADAMS for viewing. In these cases, the documents are packaged so that they are grouped in order under a single accession number. (i)
- Documentary materials that cannot be converted to an electronic form suitable to add to ADAMS, such as relief models/maps, audiovisual materials (motion pictures, audio and video recordings, etc.), physical samples, or classified and safeguards materials that cannot be added to ADAMS, are described in an ADAMS document profile and forwarded to the NRC File Center. The File Center forwards the original material to the appropriate office for retention in accordance with the records disposition schedule. (ii)
- Older Paper Records (c)

The NRC Executive Council determined which older paper record collections, created before the implementation of ADAMS, were to be entered in ADAMS. This determination was based on criteria that included priorities of office directors and availability of agency funds. Offices are not to enter older paper record collections into ADAMS on their own for reference purposes without the approval of an office director. However, existing paper records may be scanned and entered into ADAMS if these records need to be part of a document package for a new OAR. If an older existing paper record has been scanned and included as a part of a new OAR in ADAMS, the image of the scanned paper record becomes a new OAR and is so designated in ADAMS.

Document Scanning and Imaging (D)

Document Scanning Services (1)

The DPC provides various levels of scanning services:

- For simple scanning, the DPC scans a document and e-mails the ADAMS Accession Number to the requestor. (a)
- Normal scanning is performed on paper documents that are received for regular processing. (b)
- For complex scanning services, the DPC scans portions of a document and packages it with electronic portions of the document. (c)

Text Processing and Text Conversion (2)

The DPC creates an optical character recognition (OCR) text file (.txt) for each scanned paper document that is combined with the digital images to create a portable document format (PDF) searchable image (exact) file. The accuracy of the OCR output can vary according to the quality of the source document.

Image Inspection (3)

The DPC performs quality control on 100 percent of the generated digitized images to ensure that they fully reflect the associated paper documents as to completeness, resolution, and page orientation, and corrects images as appropriate.

Quality Control (4)

The DPC is responsible for completion and quality assurance of the ADAMS document profile.

Document Indexing (E)

ADAMS document indexing involves identifying and entering all information necessary to complete ADAMS document profiles and declaring specified documents as OARs. This indexing includes all data elements required for document distribution, tracking, and identification.

Paper Documents (1)

Externally Generated (a)

- The DPC scans paper documents to generate bit-mapped images for conversion to PDF searchable image (exact) format. (i)
- The DPC adds the documents to ADAMS using the DPC production document class and completes the Document Profile and security access rights in accordance with the ADAMS template instructions. (ii)
- The DPC performs quality control on the Document Profile, verifying that profile and security access rights are correct. (iii)
- The DPC declares documents OARs in accordance with established guidelines and procedures. (iv)
- The DPC selects the appropriate distribution pattern and notifies the recipients of the document's receipt and processing by sending an e-RIDS e-mail message containing an electronic link to the document. (v)

Internally Generated (b)

- NRC staff add internally generated paper documents to ADAMS by submitting them to the DPC with attached NRC Forms 665S or 665P. The forms should contain data that only the staff knows about the documents, such as availability and

Document Indexing (E) (continued)

Paper Documents (1) (continued)

sensitivity, and if sensitive, security access rights, granting the DPC owner rights to the document. NRC Form 665S is used for single documents and NRC Form 665P is used for multiple documents that are put into an ADAMS package. (i)

- The DPC completes the processing of internally generated electronic documents in the same manner as noted above under this part, Sections (E)(1)(a)(ii) to (v), for externally generated paper documents. (ii)

Electronic Documents (2)

Externally Generated (a)

- The DPC receives documents in electronic format via EIE and in CD-ROM. (i)
- The DPC completes the processing of externally generated electronic documents in the same manner as noted above under this part, Sections (E)(1)(a)(ii) to (v), for externally generated paper documents. (ii)

Internally Generated (b)

- NRC staff submit documents in electronic form to the DPC by completing the appropriate data fields on NRC Form 665 electronically in ADAMS, granting the DPC owner rights to the document, and placing a pointer to the document in one of the ADAMS DPC processing folders. (i)
- The DPC completes the processing of internally generated electronic documents in the same manner as noted above under this part, Sections (E)(1)(a)(ii) to (v), for externally generated paper documents. (ii)

Document Profile and Security Access Rights (F)

ADAMS Templates

To ensure that all documents identified to be kept in ADAMS as OARs are added correctly and consistently, NRC adopted a strategy to create and use ADAMS document processing instruction templates. ADAMS templates contain the instructions necessary to add a specific category or type of document to ADAMS, including guidance and directions for completing the document profile and assigning security access rights. Each NRC office is responsible for creating the ADAMS templates for the records of its organization.

Declaration of Official Agency Records (G)

The DPC completes the profile, adds additional security data, and declares documents as OARs in accordance with established guidelines and procedures. There are instances in which internally generated documents currently exist only in paper form and are used as attachments or enclosures to internally generated documents. In these instances, the DPC scans the documents, completes the profile, adds additional security data, and declares documents as OARs in accordance with established guidelines and procedures. (For additional guidance see *ADAMS Desk Reference Guide*, Chapter 10.)

E-RIDS Document Distribution (H)

The DPC notifies NRC staff members when expedited or normal processing has been completed for their specific documents via e-RIDS e-mail notification. The DPC reviews each e-RIDS notification to ensure that the distribution codes and docket numbers are correct and that manual adjustments to the distribution list have been made when appropriate. The DPC

E-RIDS Document Distribution (H) (continued)

reviews each e-mail notification to ensure that notifications are being sent to the appropriate NRC staff member and the appropriate document is attached to the message.

Releasing Documents to the Public (I)

ADAMS is the NRC's official means of making agency documents available to the public. In the past, publicly available documents were sent to the Public Document Room (PDR) on paper and microfiche and posted at the NRC Web site. In the ADAMS environment, only a small number of high-interest documents are sent to the PDR in paper form and microfiche is no longer produced. Of the documents the DPC declares as OARs daily, those that are designated as "Publicly Available" and meet certain specified conditions, are copied, or "replicated" to the PARS Library, which is outside the NRC firewall on the external server.

Replicating Publicly Available Documents (1)

- In the replication process, the documents and profile data are copied to the ADAMS public library (PARS - Publicly Available Records System). (a)
- At scheduled intervals each day, the DPC searches the ADAMS Main Library for documents that meet the criteria noted below for release. Documents eligible for release are copied into the Replication Folder for release to PARS. (b)

Identification of Documents for Replication (2)

- When new NRC-generated documents or new externally generated documents are captured in ADAMS, profile records are generated and partially completed by the staff, by auxiliary intake stations in the regions, or by the OIS DPC. When documents are final or when appropriate, these documents must be declared as OARs. (a)

Releasing Documents to the Public (I) (continued)

Identification of Documents for Replication (2) (continued)

- With some exceptions, the staff of the DPC will be the ones who actually initiate the software function to declare OARs. But it is the NRC staff that must provide the information about the public availability and timing of release of NRC-generated documents. (b)
- Four entries must appear on the ADAMS profile before a document is eligible to be copied to the PARS library. (c)
 - The document must have been declared as an "Official Agency Record." (i)
 - The "Availability" profile field must say "Publicly Available." (ii)
 - There must be a value in the "Date to be Released" profile field. (iii)
 - Document Sensitivity must be "Non-Sensitive" or "Non-Sensitive - Copyright." (iv)

Processing of Publicly Available Documents (3)

- Externally Generated Documents (a)

Typically, externally generated documents received by the NRC appropriate for release are released to the public on the 6th working day after the document is added to the ADAMS main library. This time period allows 5 full working days for the staff to review a document received by NRC to ensure no proprietary, privacy, or other sensitive information is made public. (For additional guidance see *ADAMS Desk Reference Guide*, Chapter 9.)

Releasing Documents to the Public (I) (continued)

Processing of Publicly Available Documents (3) (continued)

- NRC Staff-Generated Documents (b)

Generally, documents generated by the NRC appropriate for release are released to the public on the 6th working day after the date of the document. For example, if the document is dated Monday, May 2, 2005, its release date will be Tuesday, May 10, 2005. The time period provided will allow 5 full working days for the addressee to receive the document. (For additional guidance, see *ADAMS Desk Reference Guide*, Chapter 9.)

Part III

Document Control Desk

Introduction (A)

The Headquarters Document Control Desk (DCD) is the primary document capture operation or station for external paper documents received by NRC in support of the licensing, regulatory, and adjudicatory functions of the agency. OIS manages the DCD. (1)

Externally generated official business mail that is not delivered directly to an NRC office is forwarded to the DCD by the NRC Mail Center. The DCD also receives externally generated hard copy mail from offices that received their mail directly and have determined that the documents are to be included in ADAMS. The DCD opens and analyzes mail to determine whether documents are appropriate for ADAMS. The DCD returns hard copy mail deemed inappropriate for ADAMS to the NRC Mail Center for delivery to the addressee. (2)

Each regional office manages and operates its own ADAMS document capture and intake stations. Regional offices have developed specific mail-handling and document intake procedures customized for their work environments. (3)

Mail Receipt and Review (B)

Delivery of Incoming Mail (1)

Each office director is responsible for establishing local policy and procedures to determine how incoming mail is processed and forwarded to the DCD. The office director selects one of the following alternatives:

Mail Receipt and Review (B) (continued)

Delivery of Incoming Mail (1) (continued)

- Incoming mail is delivered directly to the DCD in Headquarters or (a)
- Incoming mail is delivered directly to an office's mail station. Office staff identify the Official Agency Record (OAR) correspondence that is to be kept in ADAMS and send the correspondence to the DCD. (b)

NRC Mail Center Basic Procedures (2)

The NRC Mail Center (Office of Administration) receives, sorts, and forwards incoming mail to its appropriate location for review and processing.

- The Mail Center staff performs a bulk sort and separates the official agency business mail from the obvious unofficial business mail, such as circulars, advertisements, catalogs, and so on. If appropriate, unofficial mail will be delivered through the normal mail delivery process. Incoming mail marked "Addressee Only" is delivered directly to the addressee by the Mail Center staff. (a)
- The Mail Center staff signs and returns the Domestic Return Receipt for registered or certified mail it receives and receipts for any other mail required by a mail delivery service. On the basis of the option selected by the office, the Mail Center delivers official business mail directly to the office or to the DCD. (b)
- Mail sent to the Headquarters classified mailing address is handled in accordance with Management Directive 12.2, "NRC Classified Information Security Program," and is delivered directly to the recipient specified on the inner envelope by the Mail Center staff. (c)

Determining Documents
Appropriate for ADAMS (C)

The DCD opens and analyzes mail to determine whether documents are appropriate for ADAMS. The DCD forwards mail deemed inappropriate for ADAMS to the addressee. (1)

The DCD forwards to the DPC externally generated documents that are to be stored in ADAMS. (2)

Office of the Secretary of the
Commission (SECY) and the Office
of the Executive Director for
Operations (OEDO) (D)

At Headquarters, the NRC DCD, OEDO, and SECY serve as the primary control points for DPC pickup of externally generated incoming paper documents for processing. In the regions, the regional capture/intake stations assume that role. The DPC makes a minimum of six pickups daily from the DCD, the NRC File Center, OEDO, and SECY.

Part IV The Regions

Introduction (A)

ADAMS document processing in the regions parallels and in some cases is integrated into Headquarters processing procedures. ADAMS is an NRC-wide system and the joint responsibility of the offices, the regions, and OIS. Although many of the specific procedures in the regions differ by necessity from those of Headquarters, the basic principle remains. ADAMS is the repository for the unclassified program-related records of the agency, except for unclassified Safeguards information (SGI) and records determined to be inappropriate for electronic maintenance. (1)

Although regional practices are mentioned in this handbook, regional staff should consult local procedures, their local Document Liaison Officer, and the *ADAMS Desk Reference Guide*. (2)

Regional Document Processing Summary (B)

Regional staff are responsible for initial ADAMS input of electronic documents with a minimally completed profile. The Document Processing Center (DPC) is responsible for completion and quality assurance of the ADAMS document profile, declaring documents as Official Agency Records (OARs), and copying publicly available records to the ADAMS public library. (1)

In the regions, the regional capture/intake stations assume the role of the Headquarters DCD. Regional offices have developed specific mail-handling and document intake procedures customized for their work environments. (2)

The regional capture/intake stations are responsible for— (3)

Regional Document Processing Summary (B)
(continued)

- Document receipt (a)
- Scanning (b)
- Image quality control (c)
- Rendering the scanned image into a portable document format (PDF) file (searchable exact image) (d)
- Preparing a minimal ADAMS document profile (e)

For both electronic and paper documents created or received by the regional stations, the Headquarters DPC is responsible for finishing the processing of documents by— (4)

- Completing the document profiles (a)
- Ensuring the quality and accuracy of document profiles (b)
- Declaring documents as OARs (c)
- Electronically distributing the documents (if a regulatory information distribution system (RIDS) code was assigned by regional staff) (d)
- Filing OARs in the records management software (e)

Part V NRC Staff

General Staff Responsibilities (A)

ADAMS is an electronic document management system available to NRC staff, and the maintenance of ADAMS is the joint responsibility of OIS, NRC regional and Headquarters management, and NRC staff. Every NRC employee has a responsibility to ensure that ADAMS is a complete and accurate file repository for NRC official records that should be placed there.

Areas of Special Concern (B)

Although ADAMS has quality control software edits to assist staff, the need for care in entering documents in ADAMS is an important responsibility. Staff should exercise special care in the following areas:

Maintenance of Nonrecord Reference Materials (1)

- Staff must use the ADAMS "Reference" Document Class when adding nonrecord reference materials. (a)
- Staff must manage the Reference class documents that they place in ADAMS and delete them from ADAMS as soon as they are no longer needed. (b)

Releasing Documents to the Public in the Publicly Available Records System (PARS) (2)

- NRC staff have a central role in the process in which documents are released to the public and must therefore be alert to the proposed release of externally generated documents and exercise special care in completing profile fields relating to the release of NRC-generated documents. (a)

Areas of Special Concern (B) (continued)

Releasing Documents to the Public in PARS (2) (continued)

- Staff should refer to current guidance contained in “NRC Policy and Procedures for Handling, Marking, and Protecting Sensitive Unclassified Non-Safeguards Information (SUNSI)” for the handling of sensitive unclassified information relating to reactors, other NRC-licensed facilities, and for nuclear materials. (b)

Part VI

Electronic Regulatory Information Distribution System (E-RIDS)

Introduction (A)

The Regulatory Information Distribution System (RIDS), also referred to as the Electronic Regulatory Information Distribution System (e-RIDS), relies on a mixture of organizational GroupWise mailbox e-mail accounts and individual e-mail addresses. The organizational e-mail accounts are similar to mail stops that offices use for regular mail.

Process Description (B)

Each organization ensures that local procedures are established and implemented to monitor assigned e-RIDS organizational e-mail accounts and manage the mail sent from the Document Processing Center (DPC). Procedures are in place within each office to review incoming items and distribute them to the appropriate staff for review or action. (1)

E-RIDS distribution lists are developed by NRC offices in coordination with OIS' ADAMS Development and Document Processing Section (ADDPS). E-RIDS lists are based on various criteria such as document type, subject matter, and program area. The number of organizational e-mail accounts established for each office and the rules for their use differs depending on each office's preference. (2)

Role of Document Liaison Officers (DLOs) (C)

The office Document Liaison Officers (DLOs), as delegated by office directors and regional administrators, are responsible for the periodic review and update of e-RIDS codes and associated distribution patterns that are used to disseminate documents

Role of Document Liaison Officers (DLOs) (C)
(continued)

under their control. DLOs serve as conduits for making additions, changes, and deletions to the e-RIDS Distribution Database maintained by ADDPS. (1)

The purpose of this review is to— (2)

- Ensure that documents are distributed to the appropriate functional recipients. (a)
- Update distribution patterns for specific e-RIDS codes. (b)
- Ensure that the office RIDS e-mail accounts (resources) set up for organizations and individuals remain valid and accurately reflect current organizational acronyms. (c)

E-RIDS Notification (D)

Incoming documents added to ADAMS by the DPC are electronically distributed to GroupWise organizational accounts and e-mail accounts. (1)

Staff distribute final NRC-generated documents using ADAMS, sending documents to the appropriate GroupWise organizational mailbox(es) or personal e-mail accounts. (2)

Part VII Managing Official Records

Declaring Official Agency Records in ADAMS (A)

Internally Generated Documents (1)

Under the procedures for adding NRC-generated documents to ADAMS, staff add their documents to ADAMS that will become OARs using the Draft Document Class and entering a minimal set of profile information. The Document Processing Center (DPC) is responsible for changing the class to Official Record, completing the profile, and declaring the documents as Official Agency Records (OARs).

Externally Generated Documents (2)

Each office selected one of the three options for processing all its externally generated documents. These options are—

- **Option 1 (a)**

The DPC executes the Declare as Official Agency Record function. When necessary, changes to the document profile data and/or security access list are made by OIS Records Management staff upon request by the office. OIS completes all processing required to add an office's incoming documents into ADAMS, including profiling the availability field, which specifies whether a document is publicly available. Offices that choose this option can change a document's profile data or security access list when necessary.

- **Option 2 (b)**

The office executes the Declare as Official Agency Record function. The DPC profiles the document and, in the case of availability, selects the value "not publicly available." The DPC then sends the document to the individual(s) or group who

Declaring Official Agency

Records in ADAMS (A) (continued)

Externally Generated Documents (2) (continued)

have been designated by the offices as having "owner" access rights. "Owners" of the documents make changes to the document profile data, including public availability, and/or security access list, and then execute the Declare as Official Agency Record function. Offices that choose this option have designated staff in their office to be granted "owner" rights to the documents processed by the DPC.

- **Option 3 (c)**

The DPC executes the Declare as Official Agency Record function. When necessary, changes to the document profile data and/or security access list are made by office staff who have been designated to be part of the ADAMS Records Managers Group. This option is similar to Option 1 in that the DPC completes profiling an office's incoming documents into ADAMS, including completing the availability field, and declares them as OARs. The difference between Option 1 and Option 3 is that in Option 3, office staff can make needed changes to the office's document profiles rather than requesting OIS to make the changes. Offices that choose this option have designated the staff who are part of the Records Managers Group.

Filing Official Agency Records in ADAMS (B)

The ADAMS records management software is fully integrated with the ADAMS document management software, and its functionality enables NRC to terminate paper recordkeeping and rely on the ADAMS electronic documents as NRC's official records. The records management software manages the retention and disposition requirements of OARs maintained in ADAMS. (1)

Filing Official Agency Records in ADAMS (B) (continued)

ADAMS Records Management Software— (2)

- Is a records management software package fully integrated with other ADAMS software. (a)
- Meets all NARA specifications for electronic recordkeeping systems. (b)
- Contains records classification tools that are used by record filers to electronically "file" documents by assigning them a file code or codes from the ADAMS file plan. (c)
- Manages the retention and disposition of final agency records maintained in ADAMS. (d)

The members of the two ADAMS Groups in each library (with the exception of the Public and Legacy Libraries) have special rights and privileges to control and manage the OARs kept in ADAMS. These groups are called Records Managers and Record Declarers. The members of these groups have special records management privileges and have the capability to perform certain actions on documents, such as declaring documents as OARs, modifying the profiles of OARs, filing documents in the ADAMS records management software, and destroying OARs, which cannot be performed by staff who are not group members. Although the group names are the same in each library, the membership of these groups are unique to the specific library. Where applicable, each office has identified the staff in their organizations to be members of these groups. (3)

Records Managers and Records Declarers are responsible for filing ADAMS documents according to the ADAMS File Plan. The ADAMS File Plan is an hierarchical records classification scheme in the records management software used for filing documents and packages to place them under records management control. The ADAMS File Plan is based on the "NRC Comprehensive Records Disposition Schedule" (NUREG-0910). (4)

Part VIII

Systems Interfacing With ADAMS

Electronic Information Exchange (EIE) (A)

Electronic Information Exchange (EIE) allows NRC stakeholders to transmit their documents related to official agency business through the Internet. The EIE system uses a public key infrastructure and digital signaturing technology to authenticate documents and validate the person submitting the information. The system ensures that the exchanged material is secure and that the person submitting the material is, in fact, who is indicated. EIE allows NRC to receive documents from the public in electronic formats suitable for ADAMS.

Electronic Hearing Docket (EHD) (B)

The purpose of the publicly available electronic hearing docket (EHD) is to provide parties to adjudicatory proceedings before the Nuclear Regulatory Commission, designated Atomic Safety and Licensing Boards, or presiding officers with readily available access to hearing documents. (1)

Electronic documentary material submitted to the EHD is entered as official agency records into the Commission's ADAMS. (2)

High-Level Waste Electronic Hearing Docket (HLW-EHD) (C)

The high-level waste electronic hearing docket (HLW-EHD) is the official hearing docket of NRC for the proceeding on the construction authorization application of the Department of Energy (DOE) for a high-level radioactive waste geologic repository. The HLW-EHD was established pursuant to the requirements of 10 CFR 2.1013 to store electronic filings via EIE from parties to the waste proceeding.

Licensing Support Network (LSN) (D)

The licensing support network (LSN) responds to a congressional mandate that NRC reach a determination on the DOE's application for construction authorization for a high-level radioactive waste repository at Yucca Mountain, Nevada, in a 3-year time frame. To shorten the time spent on the exchange of documents that may be used as evidence in an NRC licensing proceeding, the parties and potential parties to the hearing on the DOE application made their documents available via the Internet before the submission of the DOE license application to NRC. The LSN provides a single place where the parties and potential parties to the licensing hearing can search for documents from any or all of those collections in a uniform way. (1)

NRC documents relevant to the HLW adjudicatory proceeding are placed in an HLW server for the LSN search engine to access. (2)

Part IX

Support Services

NRC File Center (A)

The Records and FOIA/Privacy Services Branch (RFPSB), Information and Records Services Division (IRSD), OIS, manages the Headquarters (HQ) NRC File Center. The File Center manages the hard copy of external records scanned into ADAMS and administers proper disposition of records within ADAMS through the use of records management software. (1)

Externally generated documents are processed (added to ADAMS) at one of the ADAMS document capture and intake stations. After processing, the source paper documents are delivered to the HQ NRC File Center where they are kept for the period of time specified in the applicable records disposition schedule, but in all cases for a minimum of 60 days. (2)

- Most of the source paper documents are destroyed after the 60-day retention period. However, there are several paper document types identified by offices as having intrinsic value and are retained longer than 60 days in accordance with the National Archives and Records Administration (NARA) approved records schedules. (a)
- External documents received in CD-ROM format are forwarded to the File Center after review and ADAMS processing where they are retained in accordance with the applicable NRC Records Disposition Schedule. (b)
- The File Center is responsible for files maintenance and disposition of all external documents that are not appropriate for ADAMS processing. For example, paper or CD-ROM copies of Safeguards Information (SGI) are packaged and transmitted to the File Center in accordance with applicable security directives. (c)

NRC File Center (A) (continued)

- The File Center is responsible for some documents that for legal or other reasons are maintained both in paper format and in ADAMS. (d)
- NRC File Center Staff are members of the Records Managers group with owner rights to documents and packages to file Official Agency Record (OAR) documents and packages in the ADAMS File Plan. The NRC File Center files the programmatic documents of the Office of Nuclear Material Safety and Safeguards, the Office of Nuclear Reactor Regulation, the Office of International Programs, the Office of Nuclear Regulatory Research, and the Office of State and Tribal Programs that were previously filed in paper by the File Center. (e)
- File Center staff routinely review OAR document and package profiles, and package contents, to determine where documents and packages are filed in the File Plan. (f)

ADAMS Support Center (B)

The ADAMS Support Center is available to help both Headquarters and regional staff. The center is staffed by professional reference librarians and records managers who are highly proficient in using ADAMS and are extremely familiar with NRC's documents as they are used in the NRC business environment. (1)

The ADAMS Support Center is located at NRC Headquarters, Telephone: 301-415-1234, Press 1; E-Mail: ADAMSIM. (2)

The ADAMS Support Center assists with questions and issues regarding— (3)

- How and when to use ADAMS (a)
- ADAMS information management policy and procedure (b)

ADAMS Support Center (B) (continued)

- Document indexing/profiling rules (c)
- Document Processing Center (DPC) operations (d)
- Records retention and disposition (e)
- Assistance with finding documents in ADAMS (f)
- Assistance with ADAMS passwords (g)
- Establishing new ADAMS accounts (h)
- Creating and maintaining ADAMS groups (i)

Public Document Room (PDR) (C)

The NRC Public Document Room (PDR) is the facility at One White Flint North, 11555 Rockville Pike (first floor), Rockville, Maryland, where public records of NRC were made available for public inspection in paper or microfiche before the implementation of ADAMS. (1)

The PDR remains available for public inspection of NRC-released documents. In the PDR, NRC provides computer terminals for public use to access Publicly Available Records System (PARS) documents on the NRC Web site, <http://www.nrc.gov>, to view publicly available documents, and to order them for a fee. (2)

The facility is staffed with reference librarians to assist the public in identifying and locating documents and in using the NRC Web site and ADAMS. The NRC PDR is open Monday through Friday, except on Federal holidays. Reference service and access to documents may also be requested by telephone (301-415-4737 or 800-397-4209) or by e-mail (PDR@nrc.gov), facsimile (301-415-3548), or letter (NRC Public Document Room, One White Flint North, 11555 Rockville Pike (first floor), Rockville, Maryland 20852-2738). (3)