

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		<b>LEAVE BLANK (NARA Use Only)</b>	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION WASHINGTON, DC 20408		JOB NUMBER NI-431-08-1	
1. FROM (Agency or establishment) U.S. Nuclear Regulatory Commission		DATE RECEIVED: 1/16/08	
2. MAJOR SUBDIVISION Office of Nuclear Security and Incident Response (NSIR)		<b>NOTIFICATION TO AGENCY</b> In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Deborah H. Armentrout, CRM	5. TELEPHONE 301-415-7228	DATE 1/23/08	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>

6. **AGENCY CERTIFICATION**  
 I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 4 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

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

DATE 1/8/08	SIGNATURE OF AGENCY REPRESENTATIVE <i>Margaret A. Janney</i> Margaret A. Janney, CRM/NS	TITLE NRC Records Officer
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7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS or Superseded Job Citation	10. Action Taken (NARA Use Only)
	<p><b>Title: NSIR Subject and Case Records</b></p> <p>(See Attached Schedule)</p> <p><i>Virginia A. Hatch</i> NSIR PMDA Director      01/02/08 Date</p> <p><i>Tom [Signature]</i> Office of General Counsel      01/04/08 Date</p>	<p>NC1-431-81-5, Item 1.2.15.a thru 1.2.15.c</p> <p>NI-431-03-1, Items 3.a(2 thru 5), 3.b.(2 thru 5) and 3.c.(2 thru 5)</p> <p>NC1-431-81-1, Item 3.a thru c</p> <p>NI-431-03-1, Items 2.a.(2 thru 5), and 2.b.(2 thru 5),</p>	

**U. S. Nuclear Regulatory Commission  
Office of Nuclear Security and Incident Response (NSIR)**

**Nuclear Safeguards and Security Program Review and Policy Development Records**

**NSIR Subject and Case Records**

The Office of Nuclear Security and Incident Response (NSIR) develops overall agency policy and provides management direction for evaluation and assessment of technical issues involving security at nuclear facilities. NSIR is the agency's safeguards and security interface with the Department of Homeland Security (DHS), the intelligence and law enforcement communities, Department of Energy (DOE), and other agencies. NSIR develops and directs the NRC program for response to incidents, and is the agency incident response interface with DHS, DOE, Federal Emergency Response Agency (FEMA) and other Federal agencies.

NSIR case and subject records include both unclassified records, and records that may be classified as either Safeguards Information (SGI) or with a National Security Classification of up to Secret Restricted Data (SRD). Unless noted otherwise, the records dispositions contained in this schedule are independent of the format of the records; the records scheduled in this schedule are media-neutral.

**1. Site-Specific Security and Safeguards Case Files**

A separate case file for each reactor and licensee containing Site- or License-specific correspondence, reports, plans and other supporting documents related to:

- security planning
- inspections, and site-specific assessments and evaluations
- force-on-force exercises
- interim compensatory measures
- site visits
- staffing requirements
- lessons learned and any other site-specific security or safeguards-related activities
- emergency planning files
- reports of operation tests

Case file records will contain Safeguards Information (SGI) or classified information, along with related unclassified records.

**Disposition: PERMANENT.** Cut off files when case file is closed. If the records are paper or other hardcopy media, transfer records to the National Archives 15 years after cut off. If the records are electronic, transfer a copy to the National Archives for pre-accessioning one year after cut off. Transfer the legal custody of the electronic records to the National Archives 15 years after cut off in accordance with NARA Bulletin 2004-02 and NARA regulations at 36 CFR 1228.270 and destroy the NRC copy of the files.

**NOTE:** In the event that the records document significant events that require records to be retained by the NRC longer than indicated above, the agency will contact NARA for authorization to extend the retention period in accordance with 36 CFR 1228.54.

## 2. Security and Safeguards Subject Files

Non site-specific subject files used to establish and document policy or regulations related to the NSIR Program and their implementation. These records include, but are not limited to:

- Policy, implementation, regulatory guides, procedures, guidelines, orders, manuals and instructions
- Correspondence, including memoranda, messages, and advisories
- Studies, reports, forms, and other data documenting accomplishments, opinions, and decisions
- Inter-agency agreements,
- Assessments, evaluations, white papers, audits, and technical notes
- General planning records and action plans
- NSIR organization administrative records such as, trip reports, staffing requirements, training, briefings and presentations

### a. **Files created or approved at the Office Director Level**

Records that document policy-making decisions or significant NSIR program management functions that are signed by or addressed to the NSIR Director or Deputy Director.

**Disposition: PERMANENT.** Cut off at the end of the Calendar Year 5 years after the action is taken. If the records are paper or other hardcopy media, transfer records to the National Archives 10 years after cut off. If the records are electronic, transfer a copy to the National Archives for pre-accessioning one year after cut off. Transfer to the legal custody of the National Archives 10 years after cut off in accordance with NARA Bulletin 2004-02 and NARA regulations at 36 CFR 1228.270 and destroy the NRC copy of the files.

### b. **Program correspondence and files created or received below the Office Director Level**

Records that document policy making limited scope decisions, or NSIR program management functions and program operations that are signed by or addressed to NSIR management and staff below the Director or Deputy Director level, and which do not rise to the level of importance requiring review by the Office Director.

**Disposition: TEMPORARY.** Cut off at the end of the Calendar Year in which the document is dated. Destroy after ten years.

### c. **Routine program correspondence files created or received at all organizational levels**

Records documenting Program transactions of a routine or recurring nature.

**Disposition: TEMPORARY.** Cut off at the end of the Calendar Year in which the document is dated. Destroy after two years.

## **Background:**

Previously approved NRC Disposition Schedules required that the SGI and classified records be retained in paper format in approved certified containers and safes (NUREG-0910, Part 20, [N1-431-03-1, Items 2.a. (2 thru 5), 2.b.(2 thru 5), 3.a. (2 thru 5), 3.b. (2 thru 5), and 3.c. (2 thru 5)]. This submittal modifies the storage location and formats for the SGI records and modifies the retention periods for these records. The records dispositions contained in this schedule apply independent of the format of the records; the records scheduled in this schedule are media-neutral.

Both the Case and Subject records series include the final and approved records as well as the working documents that significantly contributed to the record. These working documents should be filed with the record if they:

- Were circulated to NRC employees or the public for official purposes, such as review, comment, action or approval, or
- Contain unique information, such as substantive annotations or comments that add to a proper understanding of the creation or execution of policies, decisions, actions or responsibilities.

Storage locations for these Subject and Case Files are generally as follows to meet NRC Security requirements:

- **Unclassified** and **non-SGI** records are processed and filed electronically into NRC ADAMS. Paper copies, and copies used to create the electronic file placed in ADAMS and/or E-Safe, may be destroyed 2 months after digitizing and verification in E-Safe.
- Records containing **Classified** information are maintained in paper formats in security approved, locked containers (i.e., safes).
- Record copies of records containing **Safeguards Information (SGI)** are retained in electronic formats in the E-Safe filing system. Paper copies, and copies used to create the electronic file placed in ADAMS or E-Safe, may be destroyed 2 months after digitizing and verification in E-Safe.

Selected NSIR Case records may be declared as significant based on content. A significant record is defined as a record that meets any of the following criteria:

- Resulted in significant judicial decisions or legislation that affected the functions and activities of NRC
- Resulted in significant changes in regulatory activities and procedures
- Were the subject of congressional investigation or were of great public interest
- Contributed substantive information supporting docket files identified for permanent retention