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Attachment 1 - Region IV Scanning Request

Attachment 2 - Request for Headquarters Document Processing Center Scanning Services

Attachment 3 - Procedures for Adding Incoming Mail to ADAMS

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Attachment 6 - RIV Scanning Procedures

Attachment 7 - Electronic Distribution of ADAMS Documents

REGION IV ADAMS POLICY AND PROCEDURES

I. Purpose

These regional policies and procedures are a supplement to the Agencywide Documents Access and Management System (ADAMS) Draft Policy and Procedure Handbook, Revision 1 issued July 01, 1999, and the ADAMS Desk Reference Guide issued March 03, 2000.

Starting April 01, 2000, all administrative and programmatic records that meet the definition of an Official Agency Record (OAR) are to be placed in ADAMS. The ADAMS Draft Policy and Procedure Handbook, Revision 1 defines an official agency record in Section 2.4 as:

“Agency documents, regardless of media, are OARs if they meet **both** of the following conditions:

- an NRC end user creates or receives them to transact official agency business **and**
- they are preserved, or are appropriate for preservation because they document the agency’s organization and activities or because of the value of the information they contain.

Official Definition of an Official Agency Record. An OAR is statutorily defined in the Federal Records Act---

as a book, paper, map, photograph, machine readable material, or other documentary material, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data contained in these materials. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and processed documents are not included in the definition of the term “Official Agency Record” (36 CFR Part 1220).”

Documents that will not be kept in ADAMS are:

- A. Classified information. See Agency wide Documents Access and Management System (ADAMS) Draft Policy and Procedure Handbook, Revision 1, Section 2.7 for additional information.
- B. Unclassified safeguards information. See Agency wide Documents Access and Management System (ADAMS) Draft Policy and Procedure Handbook, Revision 1, Section 2.7 for additional information.

- C. A programmatic record series which is not being kept in ADAMS. See NUREG-0910 "NRC Comprehensive Records Disposition Schedule" to identify records series and recordkeeping system.
- D. An Administrative class that will not be kept in ADAMS. See ADAMS Accession Numbers ML993410118, ML993080231, and ML993370615 for more information.
- E. Allegation Documents. Check with the Allegations Coordinator if the document contains allegation data.

II. Incoming Correspondence

Externally generated correspondence can be either paper or electronic, e.g. hardcopy documents, e-mail messages, facsimile transmissions, formal Electronic Information Exchange (EIE) transmissions, and other methods by which external parties transmit electronic information to the NRC. Incoming correspondence also includes interoffice documents which are usually electronic.

All incoming paper based or electronic mail received by the Region IV (RIV) mail center will be processed according to Policy Guide 0102.

- A. Incoming hardcopy documents will be evaluated by the appropriate division to determine if the document is an Official Agency Record (OAR) which needs to be added to ADAMS.
 - 1. Starting May 1, 2000, paper documents received in the RIV mail center addressed to the Document Control Desk with RIV as a cc will be distributed to the divisions without any copies being made by the mail center staff.
 - 2. Paper documents including facsimile printouts delivered to the divisions will need to be evaluated by the division staff to determine if the document is an OAR which needs to be added to ADAMS.
 - 3. As needed, the divisions will do an ADAMS search to verify that the document has not already been entered into the document management system.
 - 4. Hardcopy documents that will be added to ADAMS can either be scanned by the division staff at an auxiliary intake and capture station or sent to the regional mail center to be scanned. The scanning procedures included as Attachment 6 are located at each auxiliary scanning station. Divisions should complete the R:\#Forms\RIV Scanning Request Form included as Attachment 1 for documents returned to the RIV mail center to be scanned.