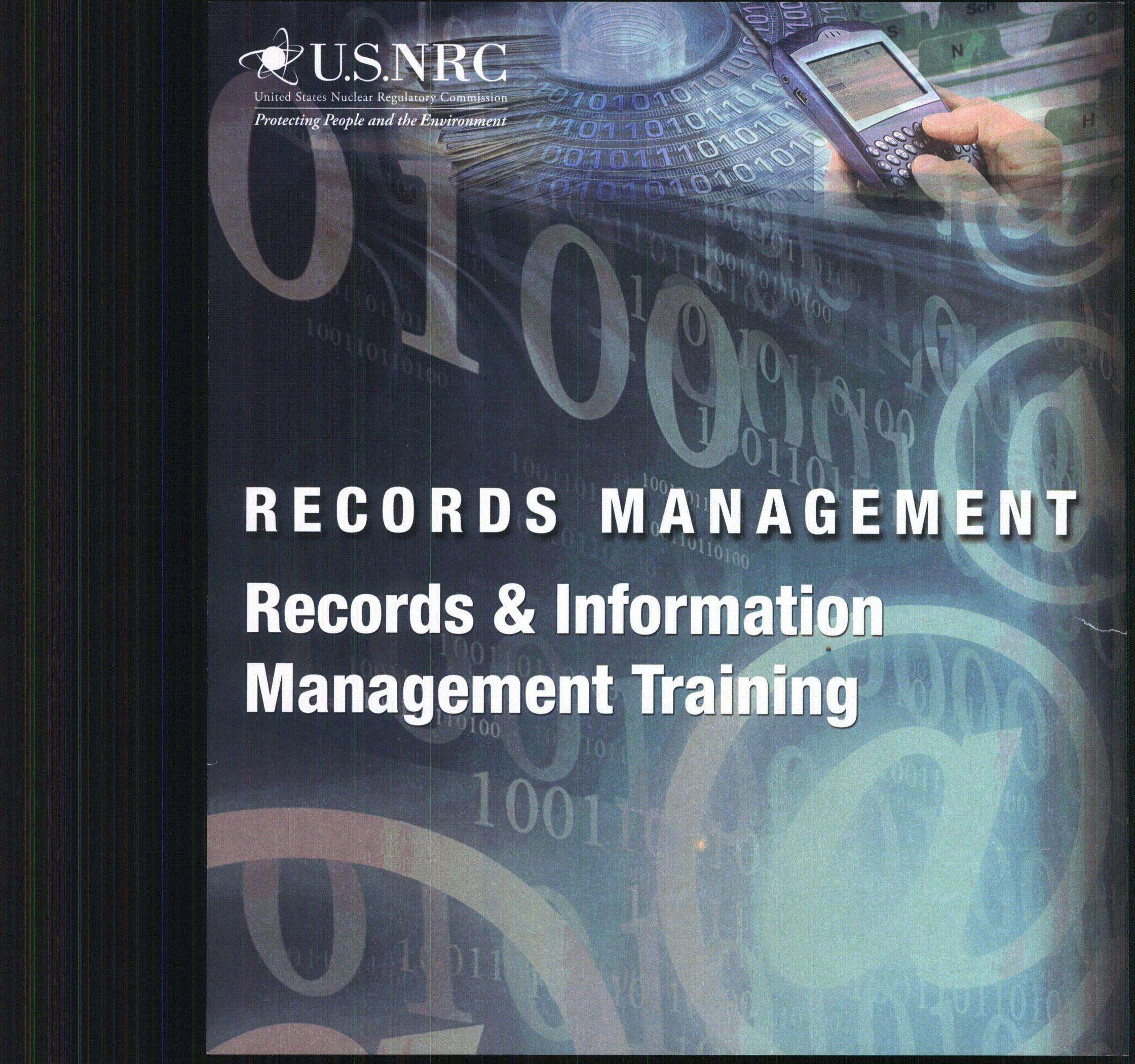




United States Nuclear Regulatory Commission

Protecting People and the Environment

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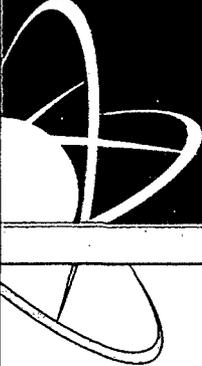
RECORDS MANAGEMENT
Records & Information
Management Training

Records and Information Management Training

For

Records Liaison Officers

Oct 26, 2010



**Overview:
Records
Liaison
Officers
Training**

October 26, 2010

U.S.NRC
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Records Liaison Officers Training

- **Introductions and Welcome**
- **OIS Records Projects**
- **Why are We Here?**
- **Training**

10/26/2010 2



OIS Records Projects

- File Plan Initiative/Steps in FY2011
- NARA Records Center Storage and Process Assessment
- Nuclear Information and Records Management Association articles and support
- NRC Records and Information Management (RIM) Toolkit
- Digitization Project
- AFAS Upgrade
- NARA Reports/Assessment
- NUREG 0910 Revision
- Records Schedule Implementation
- Records Training (on line and in house)
- Records Liaison Officer (RLO) Handbook
- MD 3.53 Revision

10/26/2010 3



Why Are We Here?

Records Management (RM) from a High-Level View

- There is a decline in staff who specialize in filing
- Growing investment is being made in software that creates records but does not manage them
- Critical records are often not sharable, retrievable, or usable
- Copies proliferate; data conflicts or is unreliable
- E-mail and instant messaging replace other communication
- Litigation and discovery costs are skyrocketing
- Authenticity is questioned
- Records are prematurely destroyed
- Tools to **manage** electronic records lag far behind

10/26/2010

4



Why Are We Here?

- FBI's mishandling of records created a last-minute delay in Timothy McVeigh's execution
- McVeigh's lawyer was not given thousands of pages of FBI reports before the trial, due to antiquated computer systems



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5



Why Are We Here?

- Agencies need a coordinated RM strategy
- We will examine how effective records management combines the best of people, processes, and technology to manage data
- How your role fits into an effective RM program:
 - Standardizes approaches
 - Understanding processes
 - Being part of records lifecycle

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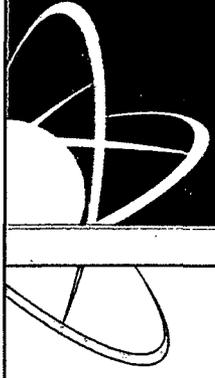


Training Agenda

- Records Program
- Records Schedules
- Records Storage/Disposition for Temporary
- Records Disposition/Transfer of Permanent Records
- Records Disposition Maintenance
- Wrap Up and Questions

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7



Module 1: Records Program

RLO Training

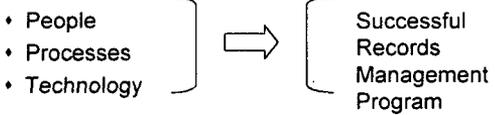


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Records Program

Managing three components—



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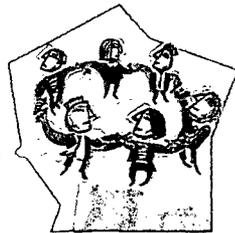


Records Program

- Effective records management adds value to agency business processes
 - All stakeholders have responsibilities and interest in records.
 - The process of creating trustworthy records supports better agency decision making.
 - Records management strategies are crucial for technology.

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10



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PEOPLE

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People - RM Stakeholders

People and organizations who may affect, be affected by, or perceive themselves to be affected by, a decision or activity.

- Can be internal or external
- Consider:
 - Our agency's interest in stakeholders
 - Stakeholders' expectations of you

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People - Roles of RM Stakeholders

- Agency Head
- CIO Official
- Program Manager
- System Administrator
- IT Staff
- Web Manager
- Inspector General
- General Counsel
- Public Affairs Officer
- Historian
- Document Processing Center Staff
- Staff Member
- Others
 - FOIA Officer
 - Privacy Officer
 - NARA
 - Contractors
 - Public

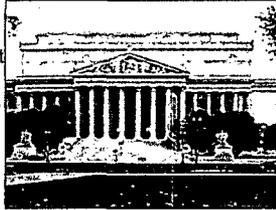
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People - NARA

- National Archives and Records Administration (NARA) is an independent agency that enables citizens to access records documenting:
 - the rights of American citizens
 - the actions of Federal officials or agencies
 - the national experience



Welcome-14



People - NARA

- NARA is also responsible for ensuring good management of records in all three branches of Government. Working with a network of agency records managers, they:
 - appraise and schedule active records
 - store inactive Government records
 - provide guidance for management of records in all media
 - preserve and provide access to records of permanent value after agency use ends



Welcome-15



People - Roles of RM Staff

- Agency Records Officer
- OIS, Records Management Staff
- Records Liaison Officers
- Records Custodian
- Document Liaison Officer
- File Custodian
- Agency Contractors Doing Records Work

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People – Roles of RM Staff - OIS

- Establishes policies, procedures, and guidelines for managing documents and records in ADAMS and other record repositories.
- Responsibility for developing and implementing the NRC records and document management program
- Ensures NRC's information management and IT practices support efficient management of its records.
- Designates an official to serve as the NRC Records Officer.

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People – Roles of RM Staff - RLOs



- RLO General Records Management Responsibilities in MD 3.53
- See Handout, NRC Form 788

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People – What Does a Records Manager Need to Know?

- The organizational goals
- A firm foundation on which to build additional layers of expertise:
 - IT
 - Business
 - Legal
- Not the details!

RM Takes a Team!



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People - Building Alliances

- What groups of people need to work together to make RM effective in your agency or organization?
- Not everyone is responsible for the RM program, but all should have an interest and some knowledge.



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People - Records Management Responsibilities

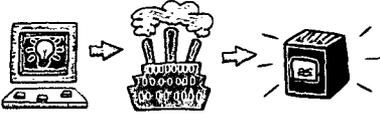
- Include in all job descriptions
- Award incentives/rewards
- Include in performance plans
- Provide continuous training
- Implement change management



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RLO Training, Records Program
PROCESSES

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Processes

- Records pass through three stages of a lifecycle
 - Creation
 - Maintenance and Use
 - Final Disposition
- These stages set the framework for a records program
- There are standards and legal requirements for documenting creation, capture, and retention of records within business process

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Processes – Setting the Stage for Records Management

<ul style="list-style-type: none"> • Planning • Controlling • Directing • Organizing • Training • Promoting 	}	<p>Regarding records:</p> <ul style="list-style-type: none"> ✓ Creation ✓ Maintenance ✓ Use ✓ Disposition
---	---	---

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Processes – Defining a Record

"...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 U.S. Government under Federal law or in connection with the transaction of public business and **preserved or appropriate for preservation** by that agency or its legitimate successor as **evidence** of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the **informational value** of the data in them." (44 U.S.C. 3301, Definition of Records)

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Processes - What is a Record?

- A record:
 - Correctly reflects what was communicated or decided
 - Correctly reflects what action was taken
 - Supports needs of business to which it relates
 - Provides evidence for Congress and for litigation; is the object of FOIA requests



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Exercise - Is Everything a Record?

- See handout
- Take a few minutes to put down your answers
- We will review as a group



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Processes- Temporary, Permanent, and Unscheduled Records



Temporary—approved by NARA for destruction

Permanent—determined as such by NARA and accessioned by National Archives



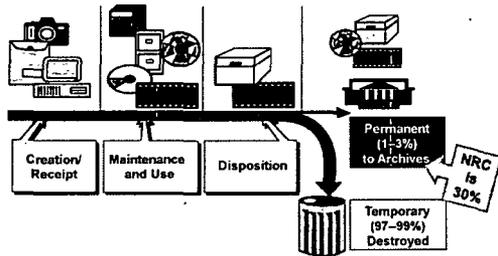
Unscheduled—not yet designated as temporary or permanent

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Processes - The Records Lifecycle



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Processes - Vital Records

- ◆ Essential agency records needed to meet operational responsibilities under national security emergencies or disasters, or to protect legal and financial rights of the Government and those affected by its activities



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Processes - Records Scheduling

- Provides specific, mandatory instructions for records no longer needed for current Government business.
- *More on this process in Module 2.*

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Trustworthy Records

- Document recordkeeping system's operation, controls, and safeguards
- Following characteristics ensure trustworthy records:
 - Authenticity
 - Reliability
 - Integrity
 - Usability



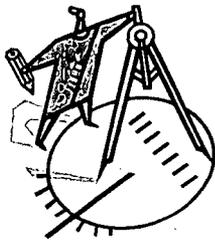
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RM Processes: What to Do

To ensure trustworthiness throughout the lifecycle, organizations should establish and administer a comprehensive RM program.



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ISO 15489-1 Suggested Processes

- Determine what records to create and include in each process
- Decide form and structure for records, as well as technology to be used
- Determine what metadata to create with each record, and how to link and manage metadata
- Determine requirements for retrieving, using, and transmitting records between business processes
- Decide how to organize records (Records Categorization)
- Assess risks from failure to have authoritative records
- Preserve records; make them accessible
- Comply with requirements, standards, and policy

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ISO 15489-1 Suggested Processes (cont'd.)

- Ensure that records are safe and secure



Ensure that records are kept only as needed

- Identify opportunities for improvement



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RM Processes: How to Do It

- ISO 15489-1 is a list of processes



- NARA Guidelines in 36 CFR Chapter 12, Subpart B are details of how to implement processes

Found at:
<http://www.archives.gov/about/regulations/subchapter/b.html>

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Processes - Program Authority

- Issue agency-wide directive assigning authorities and responsibilities for records management
 - Designate Agency Records Officer
 - Provide adequate network of support personnel



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Processes - Program Content

- Conduct inventories
- Develop records retention schedules
- Develop file plans
- Establish effective disposition procedures



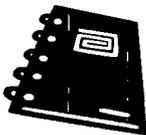
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Processes - Creation of Records

- Evaluate your agency recordkeeping requirements
- Ensure that staff members can define a Federal record
- Teach staff when to "declare" a record and how to include it in a system that manages records
- Promote RM awareness through regular staff training



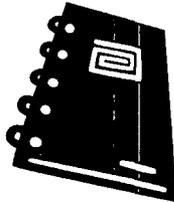
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Processes - Maintenance and Use of Records

- Organize records
- Maintain records security
- Manage records access
- Facilitate records retrieval
- Preserve records
- Audit recordkeeping practices



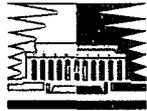
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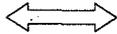


Processes - Disposition of Records

- Develop records schedule approved by internal and external stakeholders so records are:



Retired to FRC or Transferred to NARA



Properly disposed of or deleted



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Processes - Liaison Offices

- Appoint agency records officer and forward person's name, title, and telephone number to NARA, Life Cycle Management Division
- NARA and agency work together



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Processes - Agency Internal Evaluations

- Review records schedules yearly
- Monitor employee attention to records schedules
- Report any unauthorized disposal action to NARA.
- Assess the need for records management training at all levels of organization



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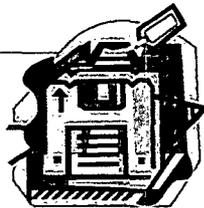


Processes - Electronic Records

- Recordkeeping requirements must be built into the functionality of the information system.
- Records can be defined by electronic systems instead of records series, typically including inputs, master files, outputs, and documentation of the systems

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TECHNOLOGY

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Technology

- It is important to develop records management strategies that support and complement current technology.
- If not, what will happen?

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Before Computers



Memory Lane



There was paper!
 Clerks and secretaries did "file and find."

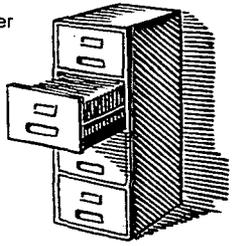
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In the Paper Environment . . .

- Records maintained in one central location
- Responsibility easily identified
- All related records kept together
- One point only for:
 - Security
 - Access
 - Maintenance
 - Use
 - Disposition



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Challenges in Today's Reality

- Changes in how Government works have undermined its ability to manage records and information
 - Rapid technological obsolescence
 - Overwhelming volume
 - Difficulty assuring the authenticity, reliability, and integrity (i.e., "trustworthiness") of records

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Four Barriers of Success

1. Records are not managed as business assets.
2. RM is not viewed as critical.
3. There is a lack of training, tools, and guidance for Federal staff.
4. RM and IT disciplines are poorly integrated in Federal agencies.



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Adapting to Current Business Realities

- To overcome the barriers, Federal agencies must manage their records from the moment of creation



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Statutory, Legal, and Regulatory Requirements

- PDD-63
- EFOIA
- OMB Circular A-130
- Clinger-Cohen Act
- Government Paperwork Elimination Act
- Paperwork Reduction Act of 1995
- GPRA
- *Armstrong v. Executive Office of the President*
- 36 CFR Parts 1-4

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Tools for Implementing Records Management Strategies

- ISO 15489-1-8
- Business Process Analysis (BPA)
- DoD 5015.2
- The Systems Development Life Cycle (SDLC)
- Capital Planning and Investment Control (CPIC)
- The Federal Enterprise Architecture
- The Records Management Profile
- The Electronic Records Management (ERM) Toolkit

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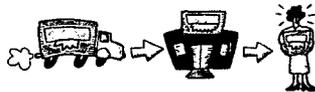
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BPA for Better Records Management

BPA is done to find out how business is conducted in an organization.

- Which records are created?
- What is their context?
- How does the agency use the records?



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DoD 5015.2

- Provides a generic set of requirements for electronic records management applications
- Sets design criteria standards for RMA software
- Accommodating dates and date logic
- Implementing standard data (metadata)
- Ensuring backward compatibility
- Ensuring accessibility

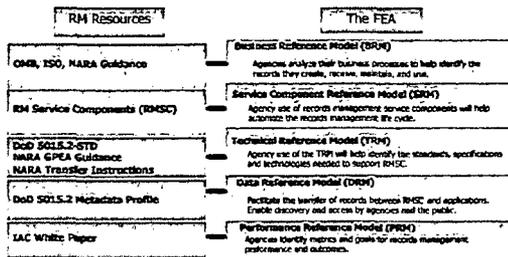


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The Records Management Profile and Federal Enterprise Architecture

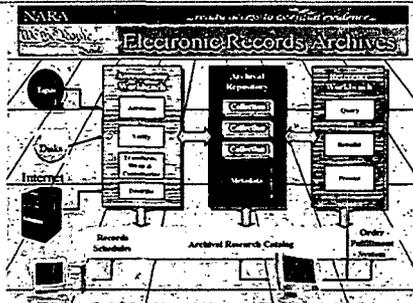


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Technology - A look to the future for RM

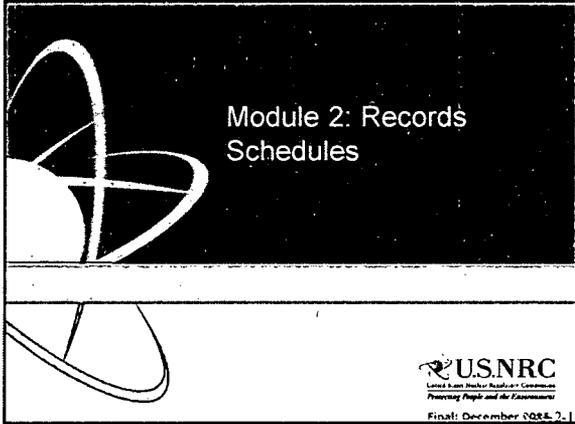


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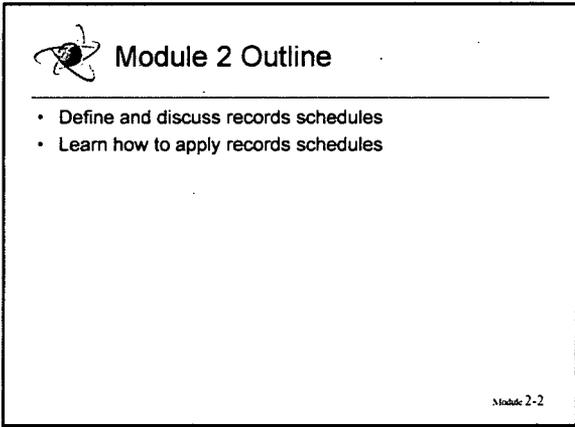
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RECORDS PROGRAM RECAP

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Module 2: Records Schedules

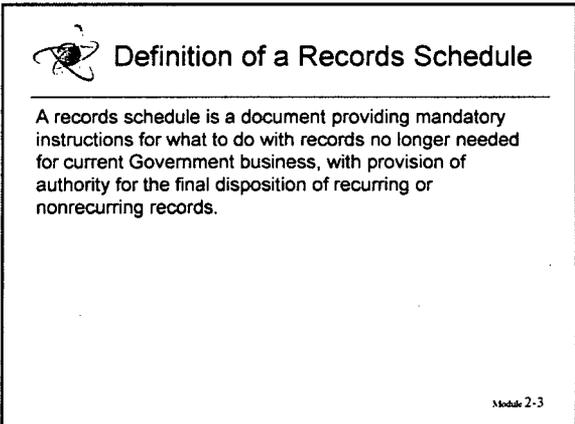
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United States Nuclear Regulatory Commission
Protecting People and the Environment
Final: December 2004, 2-1



 **Module 2 Outline**

- Define and discuss records schedules
- Learn how to apply records schedules

Module 2-2



 **Definition of a Records Schedule**

A records schedule is a document providing mandatory instructions for what to do with records no longer needed for current Government business, with provision of authority for the final disposition of recurring or nonrecurring records.

Module 2-3



Why We Have Records Schedules and Why We Implement Them

- Records schedules help us to ensure that records are maintained and preserved as long as they are needed
- NARA's regulations require each agency to:
 - Develop a comprehensive records schedule
 - Apply the schedule



Module 2-4



What Records Schedules Tell Us

- What records an agency creates and maintains
- Whether records are temporary or permanent
- If and when records are to be transferred off-site
- When records must be destroyed or transferred to the legal custody of NARA

Module 2-5



Common Elements of Records Schedules

- Item Title
- Item Description
- Disposition Instructions
- Disposition Authority

Module 2-6



Key Terms—Disposition

The actions taken when a record is no longer needed for current Government business:

- Destruction
- Donation
- Transfer to storage
- Transfer to NARA
- Transfer to another Federal agency

Module 2-7



Key Terms—Disposition Authority

The legal approval (i.e., the Archivist's signature) that allows an agency to dispose of temporary records and/or transfer permanent records to the National Archives.

Module 2-8



Disposition Authority: The GRS

General Records Schedules (GRS):

- Issued by NARA
- Provide disposition authority for records common to several or all Federal agencies
- Cover records documenting administrative functions

Module 2-9



Disposition Authority: Agency Schedules

Agency Records Schedules:

- Created by agencies
- Provide disposition authority for records not covered by the GRS
- Approved by the Archivist of the United States
- Cover nonrecord materials and other records-related information not on the SF 115

Module 2-10



Key Terms—Administrative Records

- Records created by several or all Federal agencies in performing common facilitative functions that support the agency's mission activities but do not directly document the performance of mission functions
- Relate to activities such as budget and finance, human resources, equipment and supplies, facilities, public and congressional relations, and contracting

Module 2-11



Examples of Administrative Records

- Purchase orders
- Official Personnel Folders (OPFs)
- Travel vouchers
- Payroll databases
- Network backup tapes
- Building utility diagrams

Module 2-12



Key Terms—Program Records

- Records that directly support the mission of the agency

Module 2-13



Examples of Program Records

- Licensing Docket Files
- Decommissioning Files
- Inspection Records
- Incident Response Records
- Hearing Files
- Commissioner Records

Module 2-14



Locating NRC's Current Records Schedule(s)

- NRC Comprehensive Records Disposition Schedule, NUREG 0910 at <http://www.nrc.gov/reading-rm/doc-collections/nuregs/staff/sr0910/>
- NRC Schedules approved since NUREG 0910 was issued at <http://www.nrc.gov/reading-rm/records-mgm/disposition.html>
- For guidance and policy, see MD 3.53, Records and Document Management Program, at http://www.internal.nrc.gov/ADM/DAS/cag/Management_Directives/md3.53.pdf#xmi=http://cio6.nrc.gov/texis/search/pdfhi.txt?query=Management+Directive+3.53&pr=internal&prox=page&rorder=500&rprox=500&rdfreq=500&rwfreq=500&rlead=500&sufs=0&order=r&cq=&id=4caa952c33
- See also RASS's website at <http://www.internal.nrc.gov/ois/divisions/irsd/records-mgt/index.html>
- National Archives General Records Schedules, <http://www.archives.gov/records-mgm/gsr/>

Module 2-15



Developing Retention Schedules

There are two approaches for creating records schedules:

- Traditional scheduling
 - By organization/office
 - By function
- Flexible scheduling
 - Big buckets
 - Retention bands

Module 2-16



Traditional Schedules

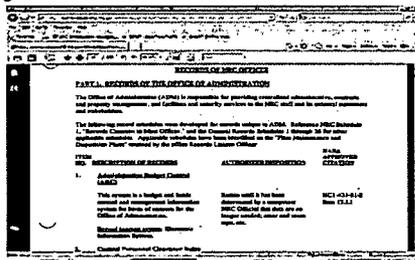
- Show agency record series and systems as separate items, which are individually scheduled for appropriate disposition
- The basic unit for organizing and controlling files = a record series
- Series are usually arranged by organization or function

Module 2-17



Organizational Arrangement

- Record series and systems are arranged by organizational unit



Module 2-18



Functional Arrangement

- Record series or systems arranged and listed by purpose
- Each record series or system is scheduled individually

104	Time and Attendance All time and attendance records upon which leave input data is based such as: time or sign-in sheets, time card (such as Optional Form (OF) 1130); flextime records, leave applications for jury and military duty, and authorized premium pay or data is based. Records may be in either machine-readable or paper form.	TEMPORARY Destroy after GAO audit or when 6 years old, whichever is sooner. GRS 27
105	Travel Files Files documenting travel by agency staff, including travel orders, information about per diem, briefing books and follow-up reports	TEMPORARY Cut off at end of FY Destroy 6 years after cut-off.

Module 2-19



Flexible Schedules

- Provide concrete disposition instructions that may be applied to groupings of information and/or categories of records

Module 2-20



Big Bucket Schedule

- Disposition instructions apply to multiple record series or systems

202	Advisory Commissions Files documenting the commission's establishment, membership, policy, organization, deliberations, findings, and recommendations, including such records as: original charter, renewal and amended charters, organization charts, functional statements, directives or memorandums to staff concerning their responsibilities, and other material that document the organization and functions of the commission and its components. agendas, briefing books, minutes, testimony, and transcripts of meetings and hearings as well as audiotape and/or videotape of meetings and hearing which were not fully transcribed.	PERMANENT Transfer to the National Archives on termination of Commission. Earlier transfer is authorized if records are no longer needed
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Module 2-21



Retention Bands

- Disposition instructions include minimum and maximum retention periods

100	RECORDS COMMON TO MOST OFFICES	
101	Correspondence Files	
	Incoming and outgoing correspondence	
	a. Program correspondence files maintained at the division level or above in DPR headquarters office and accumulated by Division directors and their immediate staff, documenting policy-making decision or significant program management functions..	a. PERMANENT Cut off at end of FY. Transfer to NARA when 20 years old
	b. Administrative correspondence files relating to administrative matters such as finance, supplies, equipment and travel.	b. TEMPORARY Cut off at end of FY. Retain a minimum of 3 year and a maximum of 6 years based on the business need of the office.

Module 2-22



Applying the Schedule

- Follow the disposition instructions for the records as outlined on the approved SF 115
 - Know what records you have
 - Recognize the correct item on the schedule
 - Recognize unscheduled records

Module 2-23



Key Terms—Unscheduled Records

- Records whose final disposition has not been approved by NARA in a records schedule
- Must be treated as if permanent and cannot be destroyed
- Big problem for an agency
 - They tend to accumulate
 - They are much more likely to be mishandled, lost, or destroyed inadvertently
- All records should be properly scheduled

Contact RASS

Module 2-24



Best Practices—Applying a Schedule

- Cut off, or break, files regularly
- Hold records in agency office for specified timeframe
- Transfer eligible Federal records to off-site storage at the Washington National Records Center (WNRC) at Suitland, MD
- Promptly destroy temporary records when their retention periods expire

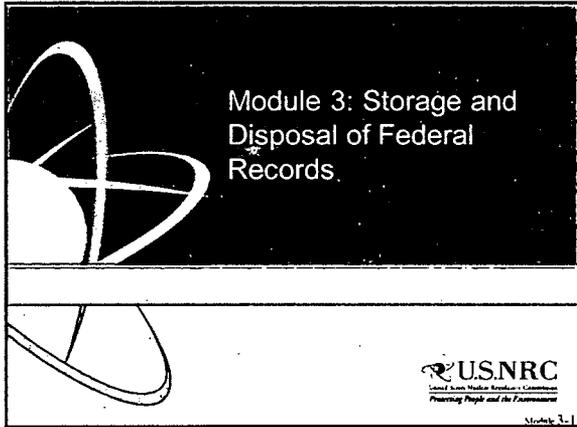
Module 2-25



Schedule Coverage

- One SF 115 may cover the program records of an entire agency, or only part of it
- After reorganization, legacy disposition authorities continue to apply only if the purpose and nature of the records remain the same
- An office cannot typically apply disposition authorities approved for another office without NARA's approval
- Usually, disposition authorities apply retroactively to existing records

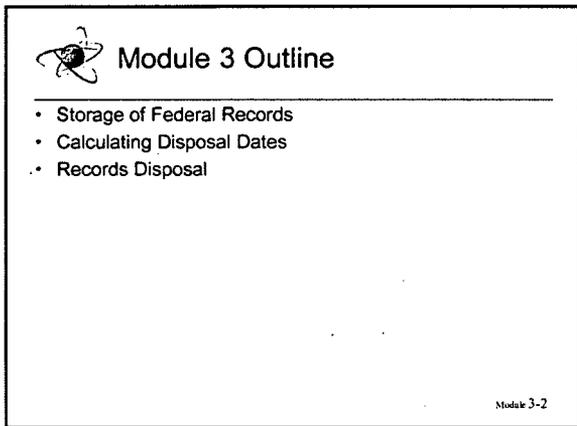
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Module 3: Storage and Disposal of Federal Records

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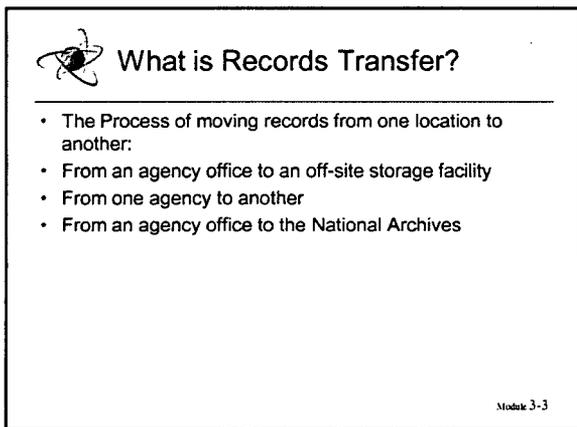
Module 3-1



 **Module 3 Outline**

- Storage of Federal Records
- Calculating Disposal Dates
- Records Disposal

Module 3-2



 **What is Records Transfer?**

- The Process of moving records from one location to another:
- From an agency office to an off-site storage facility
- From one agency to another
- From an agency office to the National Archives

Module 3-3



Key Terms: Transfer and Accessioned

- **Transfer** refers to moving records into the physical custody of a NARA Federal Records Center. The transferring agency (NRC) retains the legal custody of transferred records until final disposition.
- When permanent records are **accessioned** (Archived) into the national Archives, NARA takes legal custody of the records, and in most cases takes physical custody of the records. Accessioned records become the property of NARA.

Module 3-4



Reasons For Off-Site Storage

- **Cost savings** – It's usually more economical to store records in a records center than at the agency itself.
- **Records protection** – Records centers are equipped (via environmental controls and fire and water protection) to properly care for records.
- **The standards require protection from threats** such as fire, pests, theft, natural disasters, and water damage.

Module 3-5



Which records Can be Transferred to Off-Site Storage?

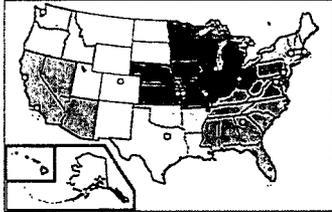
- Temporary records that are still active
- Temporary records that are no longer active
- Permanent records
- Unscheduled records
- Types of Media: paper, videos, cassette tapes, photos, CDs, DVDs, etc.

Module 3-6



Federal Records Centers

FRCs provide records management services to Federal agencies.





Transfer Guidelines

- Identify and separate your records into series by records schedule item number and cut off date.
- Determine whether the records are permanent or temporary.
- Each series will be handled as a separate transfer.
- FRCs cannot accept mixed record series.
- A series is a block of records having the same disposition authority and the same disposition date.

Module 3-8



Transfer Guidance (cont'd.)

- Label the files/folders clearly according to the File Plan.
- Each transfer must consist of at least one box and normally only one closing year date for a series of records.
- Remove any personal papers or duplicates from the recordkeeping file.
- FRCs may accept records that have less than a one-year retention period before disposition.
- For permanent records, an SF-135 must be accompanied by a detailed folder list.

Module 3-9



SF 135, Records Transmittal and Receipt

- The SF 135 serves a dual purpose, to:
- Document and track the request for transmittal/transfer of records.
- Acknowledge receipt of the records by the Federal Records Center.
- The majority of the information used to complete the SF135 is gained from AFAS.

Module 3-10



Discussion: Complete the SF 135

Module 3-11



Calculating Disposal Dates

Steps	Example
1. Identify the record's cutoff date	Cutoff date: FY 2001 = 09/2001 Eligible for disposal: 10/2001
2. Identify the record's retention period	Retention period: 6y 3m
3. Determine the record's disposal date	6y 3m + 10/2001 = 01/2008

Module 3-12



Calculating Disposal Dates

Step	Example
4. Locate the closest NARA disposal cycle	Record disposal date: 01/2008 Closest disposal cycle: January (01)

Module 3-13



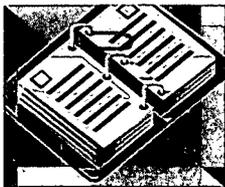
Calculating Disposal Dates

Step	Example
5. Adjust the record's disposal date to fit with NARA's disposal cycle	Record disposal date: 01/2008 Closest disposal cycle: January (01) Adjusted Disposal Date = 01/2008

Module 3-14



Exercise – Calculate Disposal Date



Module 3-15



Preparing the Boxes for Transfer

- Acquire the appropriate boxes for the type of material being retired or transferred.
- Create a box list.
- Enter the information into AFAS.
- Pack the boxes.
- Acquire the accession number from the Records and Archives Services Section.

Model 3-16



Tips for Packing Boxes

- Do not over pack the boxes. Leave a 1 to 2 inch space in each box to allow ease of reference.
- Do not put additional material on the bottom, side, or top of the records in the box.
- Do not mix media (computer diskettes, microfiche, or videocassettes) because they must be stored in a different environment from paper records.
- Use a black permanent felt-tip marker and make the numbers at least 1.5½ high.

Model 3-17



Records Disposal

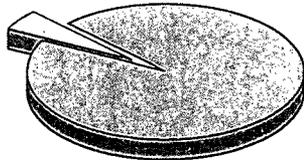
Records disposal is the final action taken regarding temporary records after their retention periods expire. It normally means destruction of the record content, such as by recycling or burning the record medium.

Model 3-18



Records Disposal (cont'd.)

Records disposal deals only with temporary records, which make up the vast majority of Federal records.



Modak 3-19



Disposal Notification at Federal Records Centers

Federal Records Centers use the following process to notify an agency that its records are eligible for destruction:

- The Federal Records Center notifies the agency.
- The agency indicates concurrence/non-concurrence.
- If the agency approves, destruction takes place.

Modak 3-20



Disposal Approval

Prior to authorizing records disposal, agencies should make sure that the retention date has not been postponed as a result of FOIA, freeze, litigation, etc.

Modak 3-21



Records Freeze



- Temporary records held for litigation, investigation, or audit purposes are flagged as **frozen**
- Frozen records can be destroyed only after completion of litigation, audit, or investigation.

Module 3-22



Continued Retention

Circumstances requiring the retention of record series or systems beyond their scheduled destruction date include:

- Records freezes
- Changes to the record's retention period which are in process or have yet to be forwarded to the records center
- A FOIA request has been submitted for the records
- To keep records more than one year past the destruction date, the agency must request NARA's approval

Module 3-23



Continued Retention (cont'd.)

- To keep records less than one year past the destruction date, the agency does not have to submit a formal extension
- There is an impact on destruction when a temporary record is determined to have ongoing use/value beyond its retention period. Offices may consider revising the retention schedule.
- In order to prevent premature disposition, all players involved with records disposition must be informed when record retention is continued beyond the disposition date

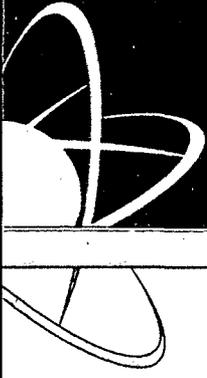
Module 3-24



Questions



Model 3-25



Module 4: Transferring
Permanent Records to
NARA

U.S.NRC
United States Nuclear Regulatory Commission
Protecting People and the Environment

Final: December 2006 1.1



Module 5 Outline

- Permanent Records
- Transfer to NARA
- Pre-accessioning

Module 4-2



Key Terms—Permanent Records

Permanent records are those determined by NARA to have sufficient historical or other value to warrant continued preservation by the Federal Government, generally as part of the National Archives, unless otherwise agreed to by NARA.

Module 4-3



Custody of Permanent Records

- When agencies transfer temporary records to off-site storage, they transfer physical custody but remain the legal owners of the records
- When agencies transfer permanent records to the National Archives, they transfer both physical and legal custody to the National Archives
- **Accessioning** is the process whereby NARA assumes custody of permanent records

Module 4-4



Why Permanent Records Are Transferred to NARA

- Because they have value, and therefore require historical preservation

Module 4-5



Best Practices—The Process of Transferring Permanent Records to NARA

- Agencies must transfer permanent records to NARA in accordance with their schedules' instructions and NARA regulations and guidance
- The agency directive should contain instructions for transferring permanent records to the Archives
- All transfers of permanent records must be accompanied by a folder title list of the box contents or equivalent detailed records description
- Permanent records should be scheduled for transfer as soon as they are no longer needed for current operations

Module 4-6



Best Practices—The Process of Transferring Permanent Records to NARA (cont'd.)

- Permanent records should be:
 - Stored on archival-quality media in appropriate containers and facilities
 - Kept properly and in good order/condition
- Permanent records should not be intermixed with other permanent record series or with temporary records
- Agencies should keep an inventory of permanent records

Module 4-7



The Process of Transferring Permanent Records to NARA

- Accessioning records follows a systematic process, based on the location of the records
- Transfers are initiated by submission of an SF 258, Agreement to Transfer Records to the National Archives of the United States
- The SF 258 is used to document the change in legal custody of the records and to state terms of the transfer
- An SF 258 must be prepared for each series or SF 115 item being transferred

Module 4-8



Transferring Permanent Records From an FRC

1. NARA initiates the SF 258 and sends it to the agency 90 days before the scheduled date of accession.
2. The agency approves or disapproves the SF 258 and sends it to the address indicated on the form 60 days before the scheduled accession date.

Module 4-9



Transferring Permanent Records Directly From the Agency

1. The agency initiates the SF 258 and sends it to the Office of Records Services in Washington, DC (NWMD), or to the appropriate Regional Archives 60 days before the scheduled date of transfer to the National Archives.
2. NARA approves or rejects the SF 258

Module 4-10



When the SF 258 is Initiated by the Agency

- The NRC completes Blocks 2 and 4-14 of the SF 258
 - Block 2 needs to be signed and dated by the NRC Records Officer
- The NRC sends the original to the appropriate NARA address 60 days prior to the records being transferred to the National Archives

Module 4-11



When the SF 258 is Initiated by NARA

- NARA completes Blocks 1 and 4-14 of the SF 258
- NARA sends the original to the transferring NRC's records officer
- The NRC's records officer completes and signs/dates Block 2 and makes any adjustments to Blocks 4-14
- The NRC sends the original to the appropriate NARA address 60 days prior to the records being transferred to the National Archives

Module 4-12



Transfer Guidance for All Permanent Electronic and Special Media Records

Permanent electronic and special media records have special requirements for transfer to the National Archives, including:

- Temporary retention of copy
- Transfer media requirements
- Format requirements
- Documentation requirements

Module 4-16



Transfer Guidance for Specific Types of Permanent Electronic Records

NARA also has transfer requirements specific to the following types of permanent electronic records:

- Digital geospatial data records
- Audiovisual records
- Cartographic and architectural records
- Microform records
- Electronic mail with attachments
- Scanned images
- PDF files
- Digital photography
- Web content records

Module 4-17



Best Practices—Transferring Permanent Electronic and Special Media Records

- Agencies need to ensure the proper storage of permanent electronic and special media records prior to transfer
- Agencies need to address permanent audiovisual records requirements

Module 4-18



Pre-accession

Pre-accessioning occurs when NARA fully processes permanently valuable electronic records in order to assume physical custody **before** the records are scheduled to become part of the National Archives of the United States.

Slide 4-19



Pre-accessioning vs. Accessioning

	Record formats	Custody
Pre-accessioning	electronic records only	transfers physical custody to NARA
Accessioning	all record formats	transfers physical and legal custody to NARA

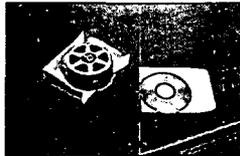
Slide 4-20



Key Terms—Electronic Records

Electronic records include numeric, graphic, and text information which may be recorded on any medium capable of being read by a computer and which satisfies the definition of a record.

This includes, but is not limited to, magnetic media, such as tapes and disks and optical disks.



Slide 4-21



Why Pre-accession?

- Electronic records present unique maintenance issues for agencies
- Through pre-accessioning, NARA relieves the maintenance burden on the agency

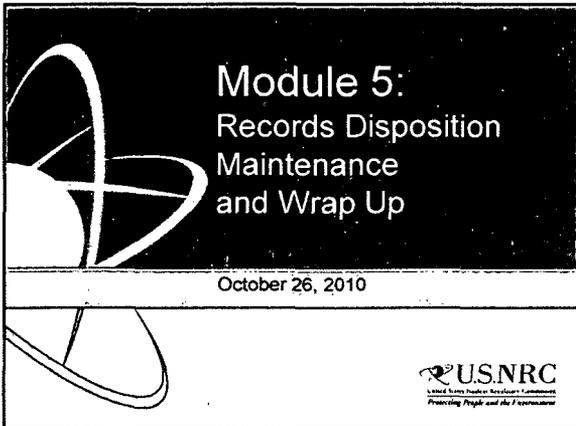
Module 4-22



The Pre-accession Process

Pre-accessioning uses the transfer procedures currently in place for transferring other permanent records to NARA.

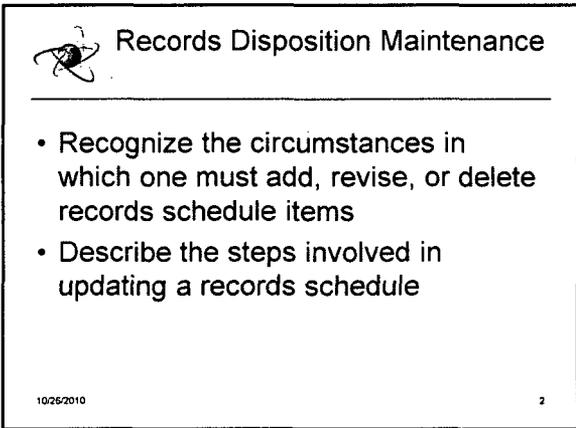
Module 4-23



Module 5:
Records Disposition
Maintenance
and Wrap Up

October 26, 2010

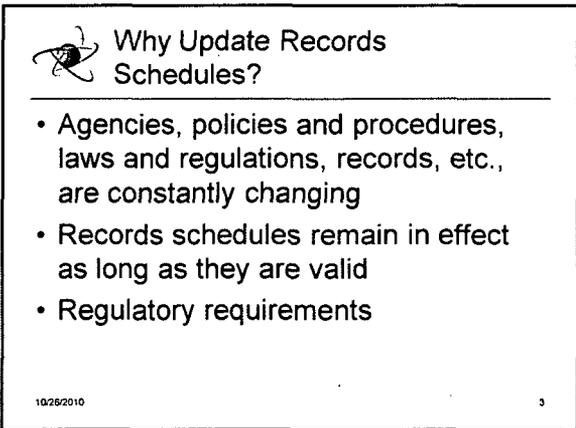
U.S.NRC
United States Nuclear Regulatory Commission
Protecting People and the Environment



Records Disposition Maintenance

- Recognize the circumstances in which one must add, revise, or delete records schedule items
- Describe the steps involved in updating a records schedule

10/26/2010 2



Why Update Records Schedules?

- Agencies, policies and procedures, laws and regulations, records, etc., are constantly changing
- Records schedules remain in effect as long as they are valid
- Regulatory requirements

10/26/2010 3



Changes That May Affect a Records Schedule

- Changes in statutory or regulatory requirements
- Changes in program priorities, policies, procedures, and information flow
- New or discontinued programs and responsibilities
- New programs and responsibilities
- Changes to automated records systems
- Internal reorganizations

10/28/2010

4



Changes That May Affect a Records Schedule (cont'd.)

- Increases/decreases in office/storage space
- Changes to records format
- Changes in retention periods
- Changes in the function of the records
- Changes in the way the records are used
- Changes in the content of a series of records
- Transfer of functions

10/28/2010

5



Changes Requiring NARA Approval

- Lengthening a retention period on a permanent basis
- Shortening a retention period
- Requesting a change from temporary to permanent status or vice versa
- Aggregating schedule items to create a "Big Bucket" schedule

10/28/2010

6



Updating Disposition Instructions

- Nonrecord material instructions
- Cutoff instructions
- Transfer instructions

10/26/2010

7



Keeping Track of Changes That May Affect a Records Schedule

- Create a network of people/resources
- Don't wait for information to come to you
- Perform annual reviews or spot checks of the schedule to help reveal situations affecting the schedule

10/26/2010

8



Getting the Word Out

- Inform agency personnel about how to recognize changes that would affect the records schedules
- Inform agency personnel about records schedule changes that have been put in place
- Update your office file plan

10/26/2010

9



Process for Updating a Records Schedule

When updating the records schedules or manual, follow the same steps as creating a schedule:

1. Complete an updated SF 115 with the applicable changes.
2. If a new series, create a new SF 115.
3. Adequately describe the changes or new record series.
4. Working with OIS, obtain internal/management approval.
5. OIS submits the SF 115 for NARA appraisal and approval.
6. Inform need-to-know people of the pending schedule change.
7. Implement the updated/new schedule.
8. Inform/train need-to-know people regarding the new schedule.

10/26/2010

10



Review and Wrap-Up



10/26/2010

11



What We Learned Today

- Records Program
 - People
 - Processes
 - Technology
- Records Schedules
- Records Storage and Disposition
- Records Disposition and Transfer
- Records Schedule Maintenance

10/26/2010

12



Remember, Everyone Has a Part to Play

Not everyone is a records manager, but everyone has a part to play in having a successful records management program.



10/29/2010

13

RLO Training, Records Program - - Exercise—Is it a Record?



Type of Information	R/NR/P
1. Requests for information	
2. Public comments	
3. Drafts circulated for formal approvals	
4. Drafts not circulated	
5. Email from a friend in regards to meeting for lunch. <i>He also wants to discuss a recent Request for Additional Information when you meet.</i>	
6. Notes taken while inspecting plant	
7. Copies of NUREG/BRs maintained by your office.	
8. Copy of external brochure from recruitment event used to show graphics. <i>You want to use as an idea for an NRC brochure</i>	
9. Notes for briefing/presentation given internally	
10. Reports submitted by National Labs under an agreement with NRC	
11. Nuclear energy related Magazine	
12. Staff blog	
13. Copies of work products from former job at another agency	
14. Copy of SF52 maintained by staff person	

R – record
NR – non record
P – personal file

**ROLES AND RESPONSIBILITIES
NRC RECORDS MANAGEMENT (RM)
RECORDS LIAISON OFFICERS (RLOs)**

Name	Office	Phone	No. Mon/Years in RM
------	--------	-------	---------------------

ROLE: 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.

Do you have a copy of this regulation? Yes No

Do you use it? Yes No

Please comment:

ROLE: Ensure that staff is creating and maintaining records with adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the office.

Do you understand how to implement this responsibility? Yes No

(Please use the space below to provide examples of how you are implementing this responsibility or to explain why you are not implementing it .)

Please comment:

ROLE: Review and approve "Files Maintenance and Disposition Plans" (NRC Forms 306 and 306A; Exhibit 1 [NRC Directive 3.53]) generated for the office's official record collections to ensure accuracy, adequacy, completeness, and compliance with NUREG-0910 and agency records management policies.

Are you aware of these plans? Yes No

Do you understand how they relate to your office? Yes No

Do you use them in the performance of your RM duties? Yes No

Please comment:

ROLE: 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.

Do you understand how to maintain these records? Yes No

Do you review these plans annually? Yes No

Do you know the meaning of disposition authorities? Yes No

Please comment:

**ROLES AND RESPONSIBILITIES
NRC RECORDS MANAGEMENT (RM)
RECORDS LIAISON OFFICERS (RLOs)**

Name	Office	Phone	No. Mon/Years in RM
------	--------	-------	---------------------

ROLE: 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.

- Are you aware of this responsibility? Yes No
- Have you ever exercised this responsibility? Yes No

Please comment:

ROLE: Process requests for certifying copies of official records in accordance with Part II, Section (B)(5), *Procedures for Certifying Copies of Official Records*, NRC MD 3.53.

- Do you understand the purpose of these requests? Yes No
- Do you understand how to process them? Yes No
- Have you ever processed them? Yes No

Please comment:

ROLE: 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." NRC MD 3.53.

- Have you ever processed these requests? Yes No
- Do you know where to locate relevant processing procedures? Yes No

Please comment:

ROLE: 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 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.

- Do you understand your responsibilities for this function? Yes No
- Have you ever processed these requests? Yes No
- Do you know who to contact for assistance with this task? Yes No

Please comment:

**ROLES AND RESPONSIBILITIES
NRC RECORDS MANAGEMENT (RM)
RECORDS LIAISON OFFICERS (RLOs)**

Name	Office	Phone	No. Mon/Years in RM
------	--------	-------	---------------------

ROLE: 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. [Please note that this is an Archival Facility Accountability System (AFAS) function.]

- Do you understand how to make these requests? Yes No
- Have you ever processed these requests? Yes No
- Do you know who to contact for assistance with this task? Yes No

Please comment:

ROLE: Review and approve records transfer forms (NRC Forms 35 and 35A, "Records Transfer" and continuation sheet) for completeness and accuracy. [This is an AFAS function.]

- Do you understand how to review these forms? Yes No
- Do you understand how to approve them? Yes No
- Have you ever processed such requests? Yes No

Please comment:

ROLE: Maintain records transfer forms for those hard [paper] copy records retired from their respective offices.

- Do you maintain a hard copy record of these requests? Yes No
- Have you ever needed to refer to these records? Yes No

Please comment:

ROLE: Coordinate office's annual report of records holdings as described in Part II, Section (C)(12), "Annual Report of Records Holdings," NRC MD 3.53.

- Do you understand the purpose of this report? Yes No
- Have you been assigned to coordinate this report? Yes No
- Do you understand the coordination process? Yes No

Please comment:

**ROLES AND RESPONSIBILITIES
NRC RECORDS MANAGEMENT (RM)
RECORDS LIAISON OFFICERS (RLOs)**

Name	Office	Phone	No. Mon/Years in RM
------	--------	-------	---------------------

ROLE: Implement processes and procedures established by OIS for auditing completeness of record collections.

Do you have a copy of these processes and procedures? Yes No

Do you understand how to implement these processes? Yes No

Have you ever processed such requests? Yes No

Please comment:

ROLE: Serve as file custodian for office's official record collections maintained in ADAMS.

Do you know and work with your office's file custodian? Yes No

Have you ever been a file custodian? Yes No

Please comment:

ROLE: Serve as the point of contact for resolving document processing issues identified during the document capture process.

Have you ever been consulted about these issues? Yes No

Do you know who to contact for assistance? Yes No

Please comment:

ROLE: 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.

Do you understand this process? Yes No

Do you understand what actions are considered appropriate? Yes No

Are you monitoring these documents as indicated? Yes No

Please comment:

**ROLES AND RESPONSIBILITIES
NRC RECORDS MANAGEMENT (RM)
RECORDS LIAISON OFFICERS (RLOs)**

Name	Office	Phone	No. Mon/Years in RM
------	--------	-------	---------------------

ROLE: Notify OIS when data needed to calculate disposition dates require revision. This includes such data as contract or license termination dates, and so on.

- Do you understand this process? Yes No
- Do you understand what actions are considered appropriate in such cases? Yes No
- Are you already monitoring these documents as indicated? Yes No
- Do you know who to contact for assistance? Yes No

Please comment:

ROLE: 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.

- Do you understand this process? Yes No
- Do you know the file codes? Yes No
- Are you already performing this task as indicated? Yes No

Please comment:

ROLE: 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.

- Do you understand the review and coordination process? Yes No
- Do you understand what actions are appropriate? Yes No

Please comment:

ROLE: Ensure that administrative records listed in the Administrative Forms and Correspondence Matrix for inclusion in ADAMS are captured. (ML993080231).

- Do you use this document? Yes No
- Do you understand the significance of this responsibility? Yes No

Please comment:

ROLES AND RESPONSIBILITIES NRC RECORDS MANAGEMENT (RM) RECORDS LIAISON OFFICERS (RLOs)

Name	Office	Phone	No. Mon/Years in RM
------	--------	-------	---------------------

ROLE: Work with office to develop and document strategies, processes, and procedures for ensuring that all appropriate records are captured in ADAMS.

Do you understand this process? Yes No
Do you understand what actions are appropriate in such cases? Yes No

Please comment:

ROLE: Ensure that processes are in place to enhance the completeness of the office's record collections maintained in ADAMS. This may be accomplished by using office-specific processes, by employing search strategies provided by OCIO to check for discrepancies, or by a combination of these.

Do you understand this statement? Yes No
Are you fulfilling this responsibility? Yes No

Please comment:

ROLE: Ensuring that staff and file custodians are aware of their ADAMS recordkeeping responsibilities and that the appropriate records are placed in ADAMS.

Do you know how to perform this responsibility? Yes No
Are you able to perform it? Yes No

Please comment:

ROLE: Periodically monitoring the office's ADAMS record collections to verify their completeness and accuracy and to determine the cause of any omissions (e.g., not provided to DPC for completion, publicly available but no release date, incorrect availability, and incorrect data). Notify OIS records management staff of any identified discrepancies.

Do you know how to perform this responsibility? Yes No
Are you able to perform it? Yes No

Please comment:

ROLE: Providing feedback to office staff regarding missing content identified during monitoring of collections.

Do you know how to perform this responsibility? Yes No
Are you able to perform it? Yes No

Please comment:

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA Use Only)	
TO: NATIONAL ARCHIVES AND RECORDS ADMINISTRATION WASHINGTON, DC 20408		JOB NUMBER <i>NI-431-08-7</i>	
1. FROM (Agency or establishment) U.S. Nuclear Regulatory Commission		DATE RECEIVED <i>5/21/08</i>	
2. MAJOR SUBDIVISION or PROGRAM Office of Federal and State Materials and Environmental Prog.		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Deborah H. Armentrout; CRM <i>DHA</i>	5. TELEPHONE 301-415-7228	DATE <i>4/24/08</i>	ARCHIVIST OF THE UNITED STATES <i>Al W...</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 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 <i>4/24/08</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Margaret A. Janney</i> Margaret A. Janney, CRM/NS	TITLE NRC Records Officer
------------------------	---	------------------------------

7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS or Superseded Job Citation	10. Action Taken (NARA Use Only)
	<p>Title: Waste Disposal Tracking System</p> <p>(See Attached Schedule)</p> <p><i>David H. Paul</i> <i>Apr 21, 2008</i> FSME PMDA Director Date</p> <p><i>V. Sanchez</i> <i>4/24/08</i> Office of General Counsel Date</p>		

Rec'd by NRC 1/6/09

**U. S. Nuclear Regulatory Commission
WASTE DISPOSAL TRACKING SYSTEM (WDTS)**

WASTE DISPOSAL TRACKING SYSTEM (WDTS)

The WDTS is a web-based system used to centrally publish and manage information about requests from licensees for authorization to dispose of low level nuclear wastes. WDTS is an internal NRC tool developed to assist in managing the authorizations for low level radioactive waste disposal (LLRW) and trending the disposal approvals.

1) Inputs/Source Documents

The information is entered manually from copies of the LLRW disposal requests supplied to NRC/FSME/ Division of Waste Management and Environmental Protection (DWMEP). The record copy is forwarded to the NRC Document Processing Center for entry into ADAMS or other approved record keeping system as a Permanent record [NUREG 0910, Part 17, Item 5, (NC1-431-83-3, Item 1 and N1-431-00-13, Item 5)].

Disposition: TEMPORARY. Cut off the LLRW disposal request copies used to provide input to WDTS after data entry and verification. Destroy the application copies and approvals at cut off, and when no longer required for business purposes. *GRS 20/20(4)*

2) Master File

The detailed information within WDTS consists of:

- Applicant Information (Name, Street Address, City, State, License Number and Docket Number)
- NRC Program Information (NRC Lead Office, Lead Reviewer, Date Completed, Notes)
- Disposal Information (Date Request Received, ADAMS Number, Waste Type, Radionuclide(s) & Activity, Disposal Method, Total Activity, Concentration, Receiving Company and Location)
- Request Status (Pending/Approved/Denied)

Disposition: TEMPORARY. Cut off the disposal data when the disposal is completed. Destroy or delete the disposal data twenty (20) years after cut off.

3) Outputs

1. Adhoc System Reports

Reports created from the information in WDTS are used for the administration of the low level radioactive waste disposal program. Typical reports may include listings of volumes of radionuclides disposed.

Disposition: TEMPORARY. Cut off and destroy when no longer required for business purposes. *GRS 20/16*

4) **WDTS System Documentation**

The System Documentation developed for WDTS is a subset of the recommended documentation in NUREG/BR-0167, "Software Quality Assurance Program & Guidelines". The following work products are typical of the documentation which are developed using Rational ClearCase.

- Data Dictionary
- Logical Design
- Build and Installation Instructions
- Online Help
- Operational Support Guide
- Physical Design
- Project Action Plan
- Project Charter
- Tactical Integration Plan
- Test Plan
- Training Material
- User Guide

4. **Current Versions of the Documentation**

Disposition: TEMPORARY. Retain current revisions of these records in a controlled repository (e.g., Rational ClearCase or ADAMS) until development is complete and the software is operational. Transfer the final approved versions and subsequent revisions of these documents to ADAMS in a format acceptable to the ADAMS administrators and the Records Officer. Cut off when the documents are superseded. Destroy 2 years after cut off. **GRS 20/11a(i)**

4. **Final System Documentation**

Disposition: TEMPORARY. Cut off when WDTS is decommissioned or replaced. Destroy 2 years after cut off. **GRS 20/11a(i)**

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Schedule 2. Payrolling and Pay Administration Records

Schedule 3. Procurement, Supply, and Grant Records

Schedule 4. Property Disposal Records

Schedule 5. Budget Preparation, Presentation, and Apportionment Records

Schedule 6. Accountable Officers' Accounts Records

Schedule 7. Expenditure Accounting Records

Schedule 8. Stores, Plant, and Cost Accounting Records

Schedule 9. Travel and Transportation Records

Schedule 10. Motor Vehicle Maintenance and Operations Records

Schedule 11. Space and Maintenance Records

Schedule 12. Communications Records

Schedule 13. Printing, Binding, Duplication, and Distribution Records

Schedule 14. Information Services Records

Schedule 15. Housing Records

Schedule 16. Administrative Management Records

Schedule 17. Cartographic, Aerial Photographic, Architectural, and Engineering Records

Schedule 18. Security and Protective Services Records

Schedule 19. RESERVED

Schedule 20. Electronic Records

Schedule 21. Audiovisual Records

- Schedule 22. Inspector General Records (WITHDRAWN)
- Schedule 23. Records Common to Most Offices Within Agencies
- Schedule 24. Information Technology Operations and Management Records
- Schedule 25. Ethics Program Records
- Schedule 26. Temporary Commissions, Boards, Councils and Committees
- Schedule 27. Records of the Chief Information Officer

Indexes Standard Forms
 Optional Forms
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- Transmittal No. 8 - General Records Schedules, December 1998
- Transmittal No. 9 - (GRS 1, 9, 25), April 24, 2003
- Transmittal No. 10 - (GRS 24), April 28, 2003
- Transmittal No. 11 - (GRS 1), December 31, 2003
- Transmittal No. 12 - (GRS 1), July 14, 2004
- Transmittal No. 13 - (GRS Introduction, 16, 26), October 13, 2004
- Transmittal No. 14 - (GRS 27), April 22, 2005
- Transmittal No. 15 - (GRS 23), September 14, 2005
- Transmittal No. 16 - (GRS 3), March 27, 2006
- Transmittal No. 17 - (GRS 10), July 24, 2007
- Transmittal No. 18 - (GRS 20), December 14, 2007
- Transmittal No. 19 - (GRS 26), January 07, 2008
- Transmittal No. 20 - (GRS 20), February 27, 2008
- Transmittal No. 21 - (GRS Subject Index), June 13, 2008
- Transmittal No. 22 - (GRS 24 and Authority Citations), April 19, 2010

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE 1 OF 1 PAGES

1. TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)
Federal Records Center

5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)

U.S. Nuclear Regulatory Commission
11545 Rockville Pike
Rockville, MD 20852
Mail Stop: T-5F17

2. AGENCY TRANSFER AUTHORIZATION
TRANSFERRING AGENCY OFFICIAL (Signature and title)
Deborah Armentrout, Chief, OIS/IRSD/IMB/RASS
DATE
09/16/2010

3. AGENCY CONTACT
TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)
Peggy Sanders, OIS/IMB/RASS (301) 415-2923

CRN: 100008

4. RECORDS CENTER RECEIPT
RECORDS RECEIVED BY (Signature and title)
DATE

Fold Line

RECORDS DATA

ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
431	10	0268	15	1-15	OCFO Accountable Officers Files (Date Span: 09/2005 - 09/2006) These records are not tobacco related. These records do not pertain to the American Indians.	R	GRS 06-01-a	01/2013				

RECORDS TRANSFER

RECORDS MANAGEMENT BRANCH COMPLETES BLOCKS 1-10, 22 AND 27-31

1. B NUMBER 100008		2. FRC ACCESSION NUMBER 431-10-0268		3. DATE JOB RECEIVED 08/31/2010	
4. VOLUME IN CUBIC FEET 15		5. LOCATION NUMBER(S) / : - - (Click Here)		6. DATE ELIGIBLE FOR DESTRUCTION 01/01/2013	
7. DATE ELIGIBLE FOR TRANSFER TO NARA		8. ORIGINATING OFFICE CODE OCFO/DFM/		9. FACILITY CODE	
				<input type="checkbox"/> AF	<input type="checkbox"/> AF-V5
				<input type="checkbox"/> AF-V3	<input checked="" type="checkbox"/> FRC
10. COMMENTS					

TRANSFERRING OFFICE - COMPLETE BLOCKS 11-21 AND 23-26

11. ORIGINATING OFFICE (Office/Division/Branch) OCFO/DFM/		12. FILE CUSTODIAN (Name/Telephone) Jerry Richardson (301)415-7309		13. LOCATION OF RECORDS (Building/Room) T-9C8	
14. TITLE OF RECORD SERIES (Refer to NUREG-0910) (Complete a separate form for each series) Accountable Officers Files(A)				15. RECORD SCHEDULE NUMBER (Refer to NUREG-0910) GRS 06-01A	

16. CLASSIFICATION OF RECORDS		17. RECORD MEDIUM			
<input checked="" type="checkbox"/> UNCLASSIFIED		<input checked="" type="checkbox"/> PAPER	<input type="checkbox"/> AUDIOVISUAL*		
<input type="checkbox"/> OTHER (Specify below)		<input type="checkbox"/> MICROFORM*	<input type="checkbox"/> MACHINE READABLE*		
HIGHEST CLASSIFICATION	*PROVIDE SPECIFIC MEDIUM				
18. TOTAL NUMBER OF CONTAINERS 15		19. TYPE OF CONTAINER(S) (NOTE: Paper records must be retired in 1-cubic foot record center boxes)			
		<input checked="" type="checkbox"/> RECORD CENTER BOX			
		<input type="checkbox"/> OTHER (Specify)			

20 GENERAL DESCRIPTION OF RECORDS

(Provide a general description of the records using items commonly used by the staff familiar with the records.)

September 2005 Compilation Work Papers Binder 1
 September 2005 Compilation Work Papers Binder 2
 September 2005 Compilation Work Papers Binder 3
 September 2005 Compilation Work Papers Binder 4
 October 2005 Compilation Work Papers Binder 1
 October 2005 Compilation Work Papers Binder 2
 November 2005 Compilation Work Papers Binder 1
 November 2005 Compilation Work Papers Binder 2
 December 2005 Compilation Work Papers Binder 1
 December 2005 Compilation Work Papers Binder 2
 December 2005 Compilation Work Papers Binder 3

DETAILED INVENTORY OF RECORDS BEING TRANSFERRED

For each individual folder, binder, report, tape, etc., sufficient description to permit retrieval. Provide all identifying numbers that apply to the material (e.g. docket number, case number, contract number, form number, etc.). Provide the date span of each item as well as any date needed to apply the disposition instructions (e.g. license terminated 01/31/90, case closed 01/31/90, etc.). Double space between items in the same container. Triple space when beginning a new container. If more space is required, use NRC for 35A, 'Records Transfer Continuation'.

CONTAINER NUMBER	22. LOCATION NUMBER	23. RECORDS DESCRIPTION	24. DATE SPAN (Month/Years)
1	/ : - .	<p>September 2005 Compilation Work Papers Binder 1 (1010 Funds with Treasury, 1310 Accounts Receivable, 1310 Unbilled Receivables, 1411 Advances to Federal Agencies, 1420 Travel Advances & 1425 Salary Advances)</p> <p>September 2005 Compilation Work Papers Binder 2 (1750 - Equipment, 1820 Leasehold Improvements & 1830 ADP Software)</p> <p>September 2005 Compilation Work Papers Binder 3 (2110 AP Non-Fed, 2111 AP Federal, 2112 Contract Closeouts, 2120 Disb in Transits, 2124 Change of Station, 2130 Contract Holdbacks, 2210 - 2214 Accrued Payroll, Taxes, Benefits, 2215 AP DOE, 2220 Accrued Annual Leave, 2225 Accrued Workers Comp, 2290 Federal Unemployment, 2310 Advances from NF, 2311 Advances from Federal, 2410 Special Deposit Funds, 2420 Deposit Suspense Funds, 2650 Actuarial Liab Worker's Comp, 2940 Capital Lease Liab., 2980 Custodial Liability, 2990 Revenue, 5780 - Imputed Financing, 6100 Payroll Rec, 6400 Benefits Rec, Note 7 Lease Payments)</p> <p>September 2005 Compilation Work Papers Binder 4</p> <p>October 2005 Compilation Work Papers Binder 1 (1010 Funds with Treasury, 1310 Accounts Receivable, 1411 Advances to Federal Agencies, 1420 Travel Advances & 1425 Salary Advances, 2124 Change of Station, 2125 Imprest Funds, 2420 Deposit Suspense Funds, 5700 Appropriated Capital Used)</p> <p>October 2005 Compilation Work Papers Binder 2 (1750 - Equipment, 1820 Leasehold Improvements & 1830 ADP Software)</p> <p>November 2005 Compilation Work Papers Binder 1 (1010 Funds with Treasury, 1310 Accounts Receivable, 1411 Advances to Federal Agencies, 1420 Travel Advances & 1425 Salary Advances, 2124 Change of Station, 2125 Imprest Funds, 2420 Deposit Suspense Funds, 5700 Appropriated Capital Used)</p> <p>November 2005 Compilation Work Papers Binder 2 (1750 - Equipment, 1820 Leasehold Improvements & 1830 ADP Software)</p>	09/2005 - 12/2005
25. RECORDS LIAISON OFFICER -- <i>Typed Name and Signature</i> Andree DuBose			26. DATE 07/14/2010
27. REVIEWING ANALYST -- <i>Signature</i> Peggy Sanders			28. DATE 08/31/2010

DISPOSITION OF RECORDS

29. DATE TRANSFERRED TO FRC	30. DATE DESTROYED	31. DATE TRANSFERRED TO NARA



General Records Schedules

National Archives and
Records Administration
College Park, MD

Table of Contents

- Schedule 1 - Civilian Personnel Records
- Schedule 2 - Payrolling and Pay Administration Records
- Schedule 3 - Procurement, Supply and Grant Records
- Schedule 4 - Property Disposal Records
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- Schedule 6 - Accountable Officers' Accounts Records
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- Schedule 15 - Housing Records
- Schedule 16 - Administrative Management Records
- Schedule 17 - Cartographic, Aerial Photographic, Architectural, and Engineering Records
- Schedule 18 - Security and Protective Services Records
- Schedule 19 - RESERVED
- Schedule 20 - Electronic Records (Transmittal No. 7)
- Schedule 21 - Audiovisual Records
- Schedule 22 - Inspector General Records - WITHDRAWN
- Schedule 23 - Records Common to Most Offices Within Agencies
- Schedule 24 - Information Technology Operations and Management Records
- Schedule 25 - Ethics Program Records
- Schedule 26 - Temporary Commissions, Boards, Councils and Committees - ADDED

Subject Index
Forms Index

depository account and statements of funds to their credit. Agency copies of these deposit and status documents are so intimately related to the accounts of these officers that they are included in this schedule. The copies received by the Fiscal Service of the Department of Treasury are not covered by this schedule and are provided for in separate schedules.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

1. Accountable Officers' Files. [See note after item 1b.]

- a. Original or ribbon copy of accountable officers' accounts maintained in the agency for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of commercial passenger transportation and freight records and payroll records, **EXCLUDING** accounts and supporting documents pertaining to American Indians. If an agency is operating under an integrated accounting system approved by GAO, certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transaction, money received and money paid out or deposited in the course of operating the agency. All copies except the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an

Destroy 6 years and 3 months after period covered by account.

Handout 6

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE 1 OF PAGES

1. TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)
Federal Records Center

2. AGENCY TRANSFER AUTHORIZATION
 TRANSFERRING AGENCY OFFICIAL (Signature and title)
 Deborah Armentrout, Chief, OIS/IRSD/IMB/RASS
 DATE
 09/21/2010

3. AGENCY CONTACT
 TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)
 Peggy Sanders, OIS/IMB/RASS (301) 415-2923

4. RECORDS CENTER RECEIPT
 RECORDS RECEIVED BY (Signature and title)
 DATE

5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)

U.S. Nuclear Regulatory Commission
 11545 Rockville Pike
 Rockville, MD 20852
 Mail Stop: T-5F17

CRN: 100085

Fold Line

6. RECORDS DATA

ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
431	10	0280	9	1-9	OGC Commission Memorandum Files (Date Span: 11/1986 - 06/1991) These records are not tobacco related.	R	NRCS 02.12.01.a.1	P 1/2012				

Approved for transfer. Put this copy in the last box of the accession.

RECORDS TRANSFER

RECORDS MANAGEMENT BRANCH COMPLETES BLOCKS 1-10, 22 AND 27-31

1. JOB NUMBER 100085	2. FRC ACCESSION NUMBER 431-10-0280	3. DATE JOB RECEIVED 07/21/2010
4. VOLUME IN CUBIC FEET 9	5. LOCATION NUMBER(S) / : - . - (Click Here)	6. DATE ELIGIBLE FOR DESTRUCTION PERM
7. DATE ELIGIBLE FOR TRANSFER TO NARA 01/01/2012	8. ORIGINATING OFFICE CODE OGC//PSB	9. FACILITY CODE <input type="checkbox"/> AF <input type="checkbox"/> AF-V5 <input type="checkbox"/> AF-V3 <input checked="" type="checkbox"/> FRC

10. COMMENTS

TRANSFERRING OFFICE - COMPLETE BLOCKS 11-21 AND 23-26

11. ORIGINATING OFFICE (Office/Division/Branch) OGC//PSB	12. FILE CUSTODIAN (Name/Telephone) Kristy Remsburg (301)415-3196	13. LOCATION OF RECORDS (Building/Room) P-1
14. TITLE OF RECORD SERIES (Refer to NUREG-0910) (Complete a separate form for each series) Commission Memorandum File(A)		15. RECORD SCHEDULE NUMBER (Refer to NUREG-0910) NRCS 02-13.01A

16. CLASSIFICATION OF RECORDS	17. RECORD MEDIUM	
<input checked="" type="checkbox"/> UNCLASSIFIED	<input checked="" type="checkbox"/> PAPER	<input type="checkbox"/> AUDIOVISUAL*
<input type="checkbox"/> OTHER (Specify below)	<input type="checkbox"/> MICROFORM*	<input type="checkbox"/> MACHINE READABLE*
HIGHEST CLASSIFICATION	*PROVIDE SPECIFIC MEDIUM	
18. TOTAL NUMBER OF CONTAINERS 9	19. TYPE OF CONTAINER(S) (NOTE: Paper records must be retired in 1-cubic foot record center boxes)	
	<input checked="" type="checkbox"/> RECORD CENTER BOX	
	<input type="checkbox"/> OTHER (Specify)	

20 GENERAL DESCRIPTION OF RECORDS

(Provide a general description of the records using items commonly used by the staff familiar with the records.)

OGC Commission Memorandum Files

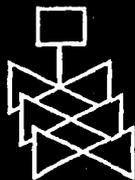
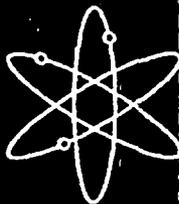
DETAILED INVENTORY OF RECORDS BEING TRANSFERRED

For each individual folder, binder, report, tape, etc., sufficient description to permit retrieval. Provide all identifying numbers that apply to the material (e.g. docket number, case number, contract number, form number, etc.). Provide the date span of each item as well as any date needed to apply the disposition instructions (e.g. license terminated 01/31/90, case closed 01/31/90, etc.). Double space between items in the same container. Triple space when beginning a new container. If more space is required, use NRC for 35A, 'Records Transfer Continuation'.

CONTAINER NUMBER	22. LOCATION NUMBER	23. RECORDS DESCRIPTION	24. DATE SPAN (Month/Years)
1	/ : - .	OGC Commission Memorandum (6 files) 11/04/1986 - 04/30/1987	11/1986 - 04/1987
2	/ : - .	OGC Commission Memorandum (6 files) 05/01/1987 - 08/31/1987	05/1987 - 08/1987
3	/ : - .	OGC Commission Memorandum (7 files) 09/01/1987 - 02/26/1988	09/1987 - 02/1988
4	/ : - .	OGC Commission Memorandum (6 files) 03/01/1988 - 09/30/1988	03/1988 - 09/1988
5	/ : - .	OGC Commission Memorandum (5 files) 10/04/1988 - 03/30/1989	10/1988 - 03/1989
6	/ : - .	OGC Commission Memorandum (5 files) 04/04/1989 - 09/28/1989	04/1989 - 09/1989
7	/ : - .	OGC Commission Memorandum (6 files) 10/02/1989 - 05/30/1990	10/1989 - 05/1990
8	/ : - .	OGC Commission Memorandum (6 files) 06/04/1990 - 03/29/1991	06/1990 - 03/1991
9	/ : - .	OGC Commission Memorandum (2 files) 04/01/1991 - 06/28/1991	04/1991 - 06/1991
25. RECORDS LIAISON OFFICER -- <i>Typed Name and Signature</i> Kristy Remsburg			26. DATE 07/21/2010
27. REVIEWING ANALYST -- <i>Signature</i> Peggy Sanders			28. DATE 09/21/2010

DISPOSITION OF RECORDS

29. DATE TRANSFERRED TO FRC	30. DATE DESTROYED	31. DATE TRANSFERRED TO NARA



NRC Comprehensive Records Disposition Schedule

**U.S. Nuclear Regulatory Commission
Office of Information Services
Washington, DC 20555-0001**



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	Item 6. Legislative Files.....	2.9.12
	Item 7. Senate and House Members Profile Files.....	2.9.13
Part 10	Records of the Office of Enforcement	2.10.1
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	Item 2. Enforcement Action Case Files.....	2.10.5
	Item 3. General Program Correspondence Files (Subject Files).....	2.10.9
	Item 4. Regulatory History Files for Proposed and Final Rulemaking.....	2.10.13
Part 11	Records of the Office of the Executive Director for Operations	2.11.1
	Item 1. Committee and Conference Records.....	2.11.1
	Item 2. EDO Action Item Files.....	2.11.5
	Item 3. General Program Correspondence Files (Subject Files).....	2.11.7
	Item 4. Work Item Tracking System (WITS-II).....	2.11.12
Part 12	Records of the Office of the General Counsel	2.12.1
	Item 1. Commission Memorandum File.....	2.12.1
	Item 2. Committee and Conference Records.....	2.12.3
	Item 3. Conflict of Interest (Ethics Official) Files	2.12.7
	Item 4. General Program Correspondence Files (Subject Files).....	2.12.7
	Item 5. Legislative Files.....	2.12.12
	Item 6. Licensing Docket Formal Hearing Files.....	2.12.14
	Item 7. Litigation Case Files.....	2.12.15
	Item 8. Patent and Technical Data Files.....	2.12.17
	Item 9. Personal Opinion Files.....	2.12.28
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Part 13	Records of the Office of Human Resources	2.13.1
	Item 1. Audio Cassettes for Technical Training.....	2.13.1
	Item 2. Automated Personnel System (APS).....	2.13.1
	Item 3. Awards Files.....	2.13.2
	Item 4. Committee and Conference Records.....	2.13.4
	Item 5. Differing Professional View and Opinion Files.....	2.13.8
	Item 6. General Correspondence Files (Subject Files).....	2.13.11
	Item 7. Training Aids.....	2.13.15
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	Item 5. Investigation Records Made Publicly Available.....	2.14.12

NRC Schedule 2

RECORDS OF NRC OFFICES

PART 12. RECORDS OF THE OFFICE OF THE GENERAL COUNSEL

The Office of the General Counsel (OGC) directs matters of law and legal policy, providing opinions, advice, and assistance to the agency with respect to all of its activities; reviews and prepares appropriate draft Commission decisions on decisions and rulings, public petitions seeking direct Commission action, and rulemaking proceedings involving hearings; provides interpretation of laws, regulations, and other sources of authority, and the legal form and content of proposed official actions; prepares or concurs in all contractual documents, interagency agreements, delegations of authority, regulations, orders, licenses, and other legal documents and prepares legal interpretations thereof; reviews and directs intellectual property work; represents and protects the interests of the NRC in legal matters and in court proceedings, and in relation to other government agencies, administrative bodies, Committees of Congress, foreign governments, and members of the public.

The following record schedules were developed for records unique to OGC. Reference NRC Schedule 1, "Records Common to Most Offices," and the General Records Schedules 1 through 26 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
1.	<u>Commission Memorandum File</u> Copies of memoranda to Commissioners containing legal opinions on a variety of subjects. Memoranda are numbered sequentially within years. <u>Record keeping system: ADAMS.</u>		
a.	Record set consisting of one copy of each memorandum.		
(1)	Paper records created before 04/01/2000.	<u>Permanent.</u> Retire to Washington National Records Center when 10 years old. Transfer to NARA when 20 years old.	NCI-431-81-5 Item 2.4.12.a
(2)	Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Destroy paper documents 2 months after creation of ADAMS electronic record.	NI-431-00-18 Item 1.a(2)

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE 1 OF 1 PAGES

1. TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)
Federal Records Center

5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)

U.S. Nuclear Regulatory Commission
11545 Rockville Pike
Rockville, MD 20852
Mail Stop: T-5F17

2. AGENCY TRANSFER AUTHORIZATION
TRANSFERRING AGENCY OFFICIAL (Signature and title)
Deborah Armentrout, Chief, OIS/IRSD/IMB/RASS
DATE
07/28/2010

3. AGENCY CONTACT
TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)
Peggy Sanders, OIS/IMB/RASS (301) 415-2923

SECY-1

4. RECORDS CENTER RECEIPT
RECORDS RECEIVED BY (Signature and title)
DATE

Fold Line

RECORDS DATA

ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
431	10	0210	25	1-25	Rule-making Docket Files Date Span: 06/83 - 7/2000	R	NRCS 2-22.10a					

NRC Schedule 2

RECORDS OF NRC OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
(5)	ADAMS document profiles and ADAMS document packages created for the management, search, and retrieval of the PDF files and TIFF files, and ADAMS data related to digital signatures, and data that evidence final NRC management and staff concurrences in documents that are linked to and considered part of the official records.	<u>Permanent.</u> Cut off electronic files with related PDF files and TIFF files. Transfer to the National Archives according to regulations found in 36 CFR § 1228.270 when the PDF files and TIFF files are transferred. Destroy NRC copy 20 years after transfer.	N1-431-01-2 Item 5.a(5)
10.	<u>Rulemaking Docket Files</u>		
	Copies of rulemaking documents sent to the Office of the Federal Register for publication, and related correspondence and other documentation.		
	<u>Record keeping system:</u> ADAMS.		
a.	Paper records created before 04/01/2000.	Destroy 10 years after the completion (through adoption or withdrawal) or rulemaking proceedings noticed in the <u>Federal Register.</u>	N1-431-01-2 Item 6.a
b.	Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files.	Destroy paper documents 2 months after creation of ADAMS electronic record.	N1-431-01-2 Item 6.b
c.	Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and ASCII files that remain with staff members and OIS processing staff after creation of the ADAMS records. Included are electronic records created internally using	Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later.	N1-431-01-2 Item 6.c

RECORDS TRANSMITTAL AND RECEIPT

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PAGE 1 OF 1 PAGES

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Federal Records Center

5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)

U.S. Nuclear Regulatory Commission
11545 Rockville Pike
Rockville, MD 20852
Mail Stop: T-5F17

2. AGENCY TRANSFER AUTHORIZATION
TRANSFERRING AGENCY OFFICIAL (Signature and title)
Deborah Armentrout, Chief, OIS/IRSD/IMB/RASS
DATE
09/16/2010

3. AGENCY CONTACT
TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)
Peggy Sanders, OIS/IMB/RASS (301) 415-2923

CRN: 090184

4. RECORDS CENTER RECEIPT
RECORDS RECEIVED BY (Signature and title)
DATE

Fold Line

RECORDS DATA

ACCESSION NUMBER			VOLUME <i>(cu. ft.)</i>	AGENCY BOX NUMBERS	SERIES DESCRIPTION <i>(With inclusive dates of records)</i>	RESTRICTION <i>(g)</i>	DISPOSAL AUTHORITY <i>(Schedule and item number)</i>	DISPOSAL DATE <i>(i)</i>	COMPLETED BY RECORDS CENTER			
RG <i>(a)</i>	FY <i>(b)</i>	NUMBER <i>(c)</i>							LOCATION <i>(j)</i>	SHELF PLAN <i>(k)</i>	CONT. TYPE <i>(l)</i>	AUTO. DISP. <i>(m)</i>
431	10	0267	2	1-2	ACRS Docket Files (Date Span: 06/1994 - 07/1995) These records are not tobacco related	R	NRCS 2.3, Item 12.a					

NRC Schedule 2

RECORDS OF NRC OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
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12. Nuclear Power Plant Docket Files

Official records documenting licensing of the construction and operation of commercial nuclear reactors for power generation pursuant to Parts 2, 20, 50, 100, and 140 of Title 10, Code of Federal Regulations. Material consists of individual applicant case files, identified by assigned docket numbers, containing copies of all documents received or generated in the review, evaluation, and authorization stages of the licensing process. Sources of documents included in case files are: applicant utility organization; NRC/Regulatory Offices; Federal and State agencies; safety boards and committees; private organizations and parties; intervenors; and individuals commenting on licensing actions.

Record keeping system: ADAMS.

- | | | |
|---|---|---------------------------|
| a. Paper records created before 04/01/2000. | Maintain for life of Committee. | NC1-431-81-5
Item 3.10 |
| b. Paper records used as the source to create ADAMS Tagged Image File Format (TIFF) files and ASCII files. | Destroy paper documents 2 months after creation of ADAMS electronic record. | N1-431-00-9
Item 10.b |
| c. Copies of electronic files stored outside of ADAMS used to create ADAMS Portable Document Format (PDF) files, TIFF files, and ASCII files that remain with staff members and OIS processing staff after creation of the ADAMS records. Included are electronic records created internally using office automation tools (e.g., | Destroy after creation of ADAMS electronic record or when no longer needed for reference or updating, whichever is later. | N1-431-00-9
Item 10.c |

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE
1

OF
PAGES

1. TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)
Federal Records Center

5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)

U.S. Nuclear Regulatory Commission
11545 Rockville Pike
Rockville, MD 20852
Mail Stop: T-5F17

2. AGENCY TRANSFER AUTHORIZATION
TRANSFERRING AGENCY OFFICIAL (Signature and title)
Deborah Armentrout, Chief, OIS/IRSD/IMB/RASS
DATE
09/16/2010

3. AGENCY CONTACT
TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)
Peggy Sanders, OIS/IMB/RASS (301) 415-2923

CRN: 100087

4. RECORDS CENTER RECEIPT
RECORDS RECEIVED BY (Signature and title)
DATE

Fold Line

RECORDS DATA

ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
431	10	0274	17	1-17	OCFO Accountable Officers Files (Date Span: 10/2005 - 05/2007) Cutoff FY 2007 (9/30/2007) These records are not tobacco related. These records do not pertain to the American Indians.	R	GRS 06-01-a					

depository account and statements of funds to their credit. Agency copies of these deposit and status documents are so intimately related to the accounts of these officers that they are included in this schedule. The copies received by the Fiscal Service of the Department of Treasury are not covered by this schedule and are provided for in separate schedules.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

1. Accountable Officers' Files. [See note after item 1b.]

- a. Original or ribbon copy of accountable officers' accounts maintained in the agency for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of commercial passenger transportation and freight records and payroll records, **EXCLUDING** accounts and supporting documents pertaining to American Indians. If an agency is operating under an integrated accounting system approved by GAO, certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transaction, money received and money paid out or deposited in the course of operating the agency. All copies except the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an

Destroy 6 years and 3 months after period covered by account.

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE 1 OF PAGES

1. TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)
Federal Records Center

5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)

U.S. Nuclear Regulatory Commission
11545 Rockville Pike
Rockville, MD 20852
Mail Stop: T-5F17

2. AGENCY TRANSFER AUTHORIZATION
TRANSFERRING AGENCY OFFICIAL (Signature and title)
Deborah Armentrout, Chief, OIS/IRSD/IMB/RASS
DATE
09/21/2010

3. AGENCY CONTACT
TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)
Peggy Sanders, OIS/IMB/RASS (301) 415-2923

CRN: 100102

4. RECORDS CENTER RECEIPT
RECORDS RECEIVED BY (Signature and title)
DATE

Fold Line

6. **RECORDS DATA**

ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG (a)	FY (b)	NUMBER (c)							LOCATION (j)	SHELF PLAN (k)	CONT. TYPE (l)	AUTO. DISP. (m)
431	10	0278	11	1-11	Examining and Certification Records Honor Law Graduate & Summer Intern Programs (Date Span: 08/2007 - 06/2009) These records are not tobacco related.	R	GRS 01.33.n					

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.

Record keeping system: Paper.

32. Merit Promotion Case Files.

Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates.

Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner.

Record keeping system: Paper.

33. Examining and Certification Records.

Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the OPM and agencies, allowing for the examination and certification of applicants for employment.

Record keeping system: Paper.

a. Delegated agreements.

Destroy 3 years after termination of agreement.

b. Correspondence concerning applications, certification of eligibles, and all other examining and recruiting operations. Such correspondence, includes, but is not limited to, correspondence from Congress, White House, and the general public, and correspondence regarding accommodations for holding examinations and shipment of test materials.

Cut off annually. Destroy 1 year after cutoff.

c. Correspondence or notices received from eligibles indicating a change in name, address, or availability.

Destroy 90 days after updating the appropriate record in the registry or inventory.

AUTHORIZED FOR LOCAL REPRODUCTION

AGREEMENT TO TRANSFER RECORDS TO THE NATIONAL ARCHIVES OF THE UNITED STATES

1. INTERIM CONTROL NO. (NARA Use Only)

TERMS OF AGREEMENT

The records described below and on the attached _____ pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.

In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256 and such other rules and regulations as may be prescribed by the Archivist of the United States (the Archivist). Unless specified and justified below, no restrictions of the

use of these records will be imposed other than the general and specific restrictions on the use of records in the National Archives of the United States that have been published in 36 CFR Part 1256 or in the *Guide to the National Archives of the United States*. The Archivist may destroy, donate, or otherwise dispose of any containers, duplicate copies, unused forms, blank stationary, non-archival printed or processes material, or other non-record material in any manner authorized by law or regulation. Without further consent, the Archivist may destroy deteriorating or damaged documents after they have been copied in a form that retains all of the information in the original document. The Archivist will use the General Records Schedule and any applicable records disposition schedule (SF 115) of the transferring agency to dispose of non-archival materials contained in this deposit.

2A. AGENCY APPROVAL Signature _____ Date _____	3A. NARA APPROVAL Signature _____ Date _____
2B. NAME, TITLE, MAILING ADDRESS	3B. NAME, TITLE, MAILING ADDRESS

RECORDS INFORMATION

4A. RECORDS SERIES TITLE		9. PHYSICAL FORMS <input type="checkbox"/> Paper Documents <input type="checkbox"/> Posters <input type="checkbox"/> Paper Publications <input type="checkbox"/> Maps and Charts <input type="checkbox"/> Microfilm/Microfiche <input type="checkbox"/> Arch / Eng Drawings <input type="checkbox"/> Electronic Records <input type="checkbox"/> Motion / sound / Video <input type="checkbox"/> Photographs <input type="checkbox"/> Other (specify): _____	
4B. DATE SPAN OF SERIES _____ <i>(Attach any additional description.)</i>		10. VOLUME: _____ CONTAINERS: _____ Cu. Mtr. _____ (Cu. Ft. _____) Number _____ Type _____	
5A. AGENCY OR ESTABLISHMENT	5B. AGENCY MAJOR SUBDIVISION	11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES	
5C. AGENCY MINOR SUBDIVISION	5D. UNIT THAT CREATED RECORD	12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE? <input type="checkbox"/> YES <input type="checkbox"/> NO <i>(If no, attach limits on use and justification.)</i>	
5E. AGENCY PERSON WITH WHOM TO CENTER ABOUT THE RECORDS Name _____ Telephone Number (____) _____		13. ARE RECORDS SUBJECT TO THE PRIVACY ACT? <i>(If yes, cite Agency system Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)</i> <input type="checkbox"/> YES <input type="checkbox"/> NO	
6. DISPOSITION AUTHORITY:		14. ATTACHMENTS <input type="checkbox"/> Agency Manual Excerpt <input type="checkbox"/> Listing of Records Transferred <input type="checkbox"/> Additional Description <input type="checkbox"/> NA from 14097 or Equivalent <input type="checkbox"/> Privacy Act Notice <input type="checkbox"/> Microform Inspection Report <input type="checkbox"/> Other (specify): _____ <input type="checkbox"/> SF(s) 135	
7. IS SECURITY CLASSIFIED INFORMATION PRESENT? <input type="checkbox"/> NO <input type="checkbox"/> YES LEVEL: <input type="checkbox"/> Confidential <input type="checkbox"/> Secret <input type="checkbox"/> Top Secret SPECIAL MARKINGS: <input type="checkbox"/> RD/FRD <input type="checkbox"/> SCI <input type="checkbox"/> NATO INFORMATION STATUS: <input type="checkbox"/> Other _____ <input type="checkbox"/> Segregated <input type="checkbox"/> Declassified		8. CURRENT LOCATION OF RECORDS _____ Agency (Complete 8A only) _____ Federal Records Center (Complete 8 B only)	
8A. ADDRESS _____ _____		8B. FRC ACCESSION NUMBER CONTAINER NUMBER(S) FRC LOCATION	

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION	RG
16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES Signature _____ Date _____	17. NATIONAL ARCHIVES ACCESSION NO.

INSTRUCTIONS

GENERAL: This form may be initiated by the transferring agency or the National Archives and Records Administration (NARA). Prepare a separate SF 258 for each series or SF 115 item being transferred.

WHEN INITIATED BY AN AGENCY: The agency completes blocks 2 and 4 through 14 using the instructions below. Block 2 must be signed and dated. Send the original to the appropriate address 60 days before the records are to be transferred to the National Archives.

WHEN INITIATED BY NARA: NARA completes blocks 1 and 4 through 14 and sends the original to the transferring agency's records officer. The agency completes block 2, completes or corrects blocks 4 through 14. Block 2 must be signed and dated. The agency sends the original to the appropriate address 60 days before the records are to be transferred to the National Archives.

MAILING ADDRESS: Mail the completed form to either the address below or the appropriate National Archives regional archives.

Accessions Control Staff (NN-E)
Office of the National Archives
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740-6001

If you do not know the address of the appropriate regional archives, telephone the accessions Control Staff at 301-713-6655.

1. **INTERIM CONTROL NUMBER:** Leave blank. NARA will fill in.

2. **AGENCY APPROVAL:** The agency records officer having the delegated authority to transfer the records with NARA should sign and date the form here (2A) and provide his/her name, title and mailing address (2B).

3. **NARA APPROVAL:** When a proposal to transfer records to the National Archives of the United States is approved, the appropriate NARA official completes 3A and 3B.

4A/B. **RECORDS SERIES TITLE/DATE SPAN OF SERIES:** The information provided should include a records series title, a statement of how the records are arranged, dates of coverage, and sufficient detail to describe the body of records being transferred. If access to the records is gained or facilitated through an index, box list, or other finding aid, include it with the records being transferred. Indicate the appropriate disposition authority number if the index is scheduled separately. If the records being transferred. Indicate the appropriate disposition authority number if the index is scheduled separately. If the records are in a Federal records Center (FRC) attach each applicable SF 135 Records Transmittal and Receipt. For electronic records, describe and related documentation.

5. Fully identify the unit (5D) that created or organized the records. Usually this not the agency's records management office. Place the creating unit within its organization hierarchy (5A-5C). For example, the responsible unit is a branch (5D), within a division (minor subdivision) (5C), within an office (major subdivision) (5B), and within the agency or major component of a department (5A). Block 5A should be the official or legal name of the agency or bureau as published in the U.S. Government Manual. In block 5E include the name and telephone number (including the area code) of a person who should be contacted if NARA has any questions about the records. If the originating agency no longer exists, provide the name of the contact person at the successor agency.

6. **DISPOSITION AUTHORITY:** This citation must be included. It can be either the item number assigned to the records within a records disposition schedule (SF 115) approved by NARA or the item number assigned to the records within an agency records disposition manual based on a NARA-approved SF 115. If the agency manual number is used, attach a copy of the pertinent pages from the agency manual.

7. **IS SECURITY CLASSIFIED INFORMATION PRESENT?** If the records contain security classified information, check "Yes" and indicate the highest level of classification present. Indicate any additional applicable national security special access restrictions (e.g., Sensitive Compartmented Information - SCI or North Atlantic Treaty Organization - NATO). Restricted Data and Formerly Restricted Data - RD/FRD - refers to information subject to the Atomic Energy Act of 1954. Check "Segregated" to indicate that security classified records have been segregated from unclassified records or information subject to special access restrictions has been segregated from other classified information. Check "Declassified" to indicate whether any records have been declassified, and provide both the authority for declassification and a description of the declassified records.

8. **CURRENT LOCATION OF RECORDS.** Check the appropriate box for the current location of the records. If the records currently are in a Federal records center, complete 8B. If the records are located in the transferring agency or other location, complete 8A.

8A. For records located in the transferring agency or other location, provide a complete address.

8B. For records located in a Federal records center, name the center, provide the FRC accession number and container number(s), and the FRC location.

9. **PHYSICAL FORM(S):** Check all the boxes that apply to the records included in the transfer.

10. **VOLUME:** Include both the cubic feet of the records and the number and type of containers holding the records. For example:

Cu. ft. 15: Number 15: Type FRC boxes. Provide separate volume figures for each physical type of records, continuing on a separate sheet as necessary.

11. **DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES:** Indicate the date the records are eligible for deposit in the National Archives. This date is determined by the disposition instructions for each item in the approved SF 115 or agency manual.

12. **ARE THE RECORDS FULLY AVAILABLE FOR PUBLIC USE?** If the records are exempt from release pursuant to the FOIA, 5 U.S.C. 552(b)(9)-(9) and (c)(1)-(3), this must be fully justified. List all exemptions that apply. If exemption (b)(1) is cited, complete block 7 accordingly. If (b)(3) is cited, include the full citation for the relevant statute. If the records are subject to copyright, identify affected items and the copyright holder.

13. **ARE THESE RECORDS SUBJECT TO THE PRIVACY ACT?** The National Archives is required to notify the public, through the Federal Register, when it takes custody of records subject to the provisions of the Privacy Act, 5 U.S.C. 552a. The originating agency should use this block to indicate whether the records covered by this SF 258 are part of a Privacy Act "system of records" and include a citation to a copy of the Privacy Act notice published by the agency for the system. NARA will use the transferring agency's notice to inform the public, through the Federal Register, that the records have been transferred to the National Archives and that no further modification of them is possible.

14. **ATTACHMENTS:** Check the appropriate box(es) and indicate the attachment(s) being submitted with this form.

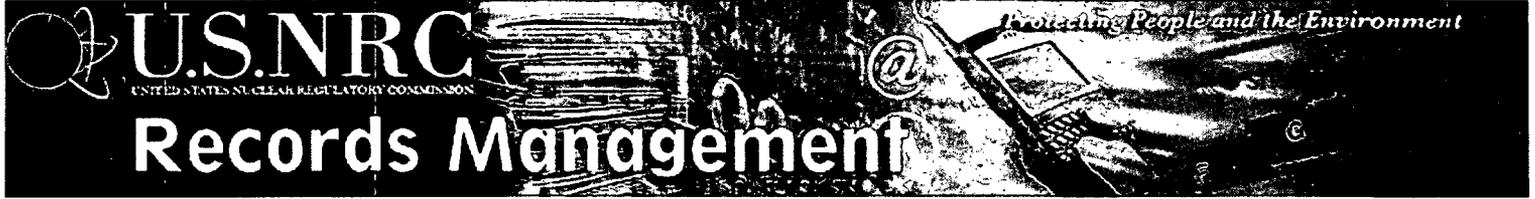
15. **SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION:** NARA uses this space to provide shipping instructions relating to transfers.

16. **RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES:** The appropriate NARA representative signs block 16 after the records have been received at a NARA facility and NARA has confirmed that the records received are the records described in block 4. Transfers to NARA are not final until NARA has signed block 16. NARA sends the agency a copy of the completed form.

17. **NATIONAL ARCHIVES ACCESSION NO.:** NARA assigns this unique, permanent control number to each transfer of records.

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Only OIS All Intranet Search



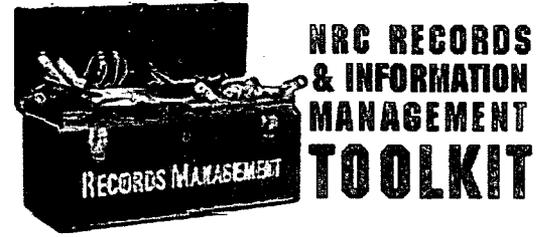
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Information Management Toolkit

The Records and Information Management (RIM) Toolkit has been created to provide a practical set of resources ("tools") that will assist agency staff in managing information created and maintained in the course of conducting business for the NRC.

We all create and use information everyday. Just like people and equipment, information is a primary asset for the agency. Imagine doing our jobs without staff, equipment, and records and information. For this reason, we must take care in how we handle information regardless of what application we are using, or where we file the information. Taking care of information (in all its many forms) is a responsibility shared by every staff member.



Just as our predecessors from the Atomic Energy Commission saved important information stored in paper at the Federal Records Center, we must save evidence of our decisions today for our successors tomorrow.

Please take advantage of these tools provided by the Records and Archives Services Section (RASS) to help you with your recordkeeping. This toolkit is intended to be a collaborative and evolving effort and will grow to include cheat sheets, checklists, templates, best practices, and resources developed by NRC staff, the National Archives and Records Administration (NARA), and other organizations.

Toolkit and Supporting Documents

- [Litigation Holds](#) - everyone's responsibility
- [Vital Records and Information](#) - no, not your birth certificate
- [MS SharePoint](#) - fun, yet a records manager's foe
- [Microfiche](#) - reliable from a records or legal perspective?
- [Audiovisual Records](#) - the good stuff

Tools on the Assembly Line (a.k.a. coming attractions):

- Electronic Mail - TMI - no, not in the nuclear sense
- [E-Files Cleanup](#) - get out your e-broom and dustpan
- Records requests - we are here to help
- Retention and Disposal Cheat Sheet
- Databases - yes Virginia, they are a record
- Records Categorization and File Plans - help is on the way
- Web Records - who's responsible?
- Background information on this issues and challenges for electronic recordkeeping - Not your momma's recordkeeping anymore
- National Archives and Records Administration - recordkeeping oversight for Federal agencies
- Legal mandates and requirements - carrot or stick?

RASS will add information on a regular basis. If you have questions or comments regarding this toolkit, like us to develop a specific tool or contribute your own material, or you would like some training on any of these issues, please contact us at records.resource@nrc.gov or 301-415-7227.

Contact/Help

- [FAQ](#)
- [NRC Form 499 - Records Request](#)
- [Records Liaison Officers](#)