



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

January 1985

SUPPLEMENT 1 TO NUREG-0910, REV. 1

"NRC COMPREHENSIVE RECORDS DISPOSITION SCHEDULE"

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RECORDS COMMON TO MOST OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	<u>Exception</u> Applicable to the Commissioners' chronological file of outgoing correspondence comprised of letters signed by the Commissioners. See NRC Schedule II, Part 3, Item 1.	
12.	<u>Policy and Precedent Reference Files</u> Copies of documents establishing policy or precedents pertinent to future and continuing actions. Normally, policy and precedent files are maintained at operating levels and consist of extra copies of operating procedures, statements of policy or procedure, examples of typical cases, and other documents duplicated in official files. Original or official record copies will NOT be placed in this file. This file consists of non-record copies maintained only for convenience of reference.	Destroy when organizational unit is discontinued or when documents become obsolete or are no longer needed for operating or reference purposes.
13.	<u>Staff Working File</u> Reference files maintained for convenience by individual staff members. Includes copies of docket material and other records maintained in official NRC files.	Destroy at the same time the related subject file is destroyed, or earlier if no longer needed for reference purposes.
14.	<u>Reference Publication Files</u> Copies of NRC internal and/or external directives, and publications issued by other Government agencies and non-governmental organizations maintained for reference within an office.	Destroy when superseded, obsolete, or no longer needed for reference purposes.

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RECORDS COMMON TO MOST OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
15.	<p><u>Schedules of Daily Activities.</u></p> <p>Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of Federal employees while serving in an official capacity. Materials determined to be "personal records" are not covered by this item.</p>	
	<p>a. Records containing substantive information relating to the official activities of high level officials, the substance of which has <u>not</u> been incorporated into memoranda, reports, correspondence, or other records included in the official files. (High level officials include the heads of departments and independent agencies, their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and Commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.)</p>	<p>Offer to NARS when no longer needed.</p>
	<p>b. Records of other than high level Federal employees as defined in "a" above containing substantive information relating to official activities, the substance of which has <u>not</u> been incorporated into official files.</p>	<p>Destroy when 2 years old.</p>

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RECORDS COMMON TO MOST OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	c. Routine materials containing <u>no</u> substantive information regarding the daily activities of other than high level officials as defined in "a" above; records of all Federal employees containing substantive information, the substance of which has been incorporated into official files.	Destroy when no longer needed.
16.	<u>Routine Control Files.</u>  Job control records, status cards, routing slips, work processing sheets, correspondence control forms, receipts for records chargeout, and other similar records used solely to control work flow and to record routine and merely facilitative actions taken.	Remove from related records and destroy when work is completed or when no longer needed for operating purposes.
17.	<u>Technical Reference Files.</u>  Copies of documents retained strictly for reference and informational purposes and which are not part of the official files. Include copies of reports, studies, special compilations of data, drawings, periodicals, books, clippings, extra (nonrecord) copies of "policy and precedent" files, brochures, catalogs, vendor price lists, and publications prepared internally and externally. Note: Reference materials relevant to permanent records accessioned by or scheduled to be accessioned by the National Archives should be offered to NARS.	Review annually and destroy material of no further reference value.

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RECORDS COMMON TO MOST OFFICES

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
18.	<u>Finding Aides.</u>  Indexes, lists, registers, and other finding aids necessary for the efficient use of other records.	
	a. Finding aids for series that have been accessioned by the National Archives and those relating to major program case files not previously authorized for disposal.	Offer to NARS.
	b. All other finding aids.	Follow disposition instructions for the records to which they relate, or destroy when no longer needed for reference.

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RECORDS COMMON TO MOST OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
a.	Official files maintained in the Office of International Programs.	Permanent. Retire to WNRC when 10 years old. Offer to NARS 10 years after license has expired.
b.	Other copies throughout NRC.	Destroy when no longer needed.
7.	<u>Fuel Facilities, Transportation, Byproduct, Source, and Special Nuclear Material Docket Files</u>	Note: Destruction of Official Records suspended until resolution of GAO request to make certain decommissioning records in this series permanent.
	Case files documenting the licensing of persons, institutions, facilities or companies to use byproduct, source and special nuclear material, and to transport nuclear material as defined in 10 CFR Parts 30, 40, 50, 70, and 71. Included are the application, license and amendments, and all related documentation. Excluded are case files (under 10 CFR Part 40) with license prefix of "SUA" which are covered by Item 8 of this schedule.	
a.	Official case files, except for those files covered by "b" below. Regional case files which include the Official Records for Inspections; also reference NRC IV.4-2, "Inspection & Enforcement Case Files", items a and b.2, and use the longest period applicable.	Retire to WNRC after license is expired or terminated and receipt of certification that premises are free of contamination. Destroy 10 years after date of certification, or Decommissioning Procedure.
b.	Case files covering licensees for which licensing jurisdiction is transferred to the State under agreement covering transfer of function.	Transfer to Agreement States
c.	All copies in NMSS, I&E and Regional Offices.	Destroy when 1 year old or earlier if purpose has been served.



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8.	<u>High-Level, Low-Level, and Uranium Recovery Docket Files.</u>  Case Files documenting the licensing of high-level, low-level and uranium recovery operations including mills, solution mining, and heat leaching of ion exchange facilities in non-Agreement States as defined in 10 CFR 40 with license transfer prefix of "SUA." Includes applications, licenses and amendments and other related material. Arranged by docket number.	<u>Permanent.</u> Offer to NARS when 10 years old.
9.	<u>Licensing Project Files.</u>  Applications for construction permits and/or licensing and related records on withdrawn or otherwise cancelled projects.  a. Files under 10 CFR Part 50  b. Files under other applicable parts of 10 CFR.	Destroy 20 years after withdrawal or cancellation.  Destroy 1 year after withdrawal or cancellation.
10.	<u>Non-licensing Project Files.</u>  Reports and correspondence relating to specific DOE developmental projects involving use of nuclear materials.	Destroy 20 years after completion of project.
11.	<u>Emergency Planning Files.</u>  a. Case files accumulated in the Office of Inspection & Enforcement, Division of Emergency Preparedness, consisting of a record copy of each plan or directive issued, when related background papers.	<u>Permanent.</u> Offer to NARS when 20 years old.

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RECORDS COMMON TO MOST OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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PART 7. MACHINE READABLE

This schedule covers machine-readable records which include data on magnetic tape, disk packs, magnetic drums, punched cards and optical disk.

Federal statutes and regulations define Federal records as the products of government business and specifically include all media on which they may be recorded.

OFFICE OF THE SECRETARY

1. Secretary Staff Requirements Memorandum Tracking System.

The system generates reports which contain information on all tasks assigned to staff by Commission action; the tasks are contained in SECY Staff Requirements Memorandums, SRMs. The reports list each task according to action office, EDO/Office, COM/Office, and status such as complete, overdue or on schedule.

Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.

2. Commission Staff Papers File System (CSPFS).

The system maintains a file of Commission staff papers representing policy session, consent calendar, Commission action and information report items submitted to the Commission.

Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.

3. Public Document Room Document Control System (PDR/DCS).

The system provides access to bibliographic data on NRC records maintained in the NRC Public Document Room.

Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.

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RECORDS COMMON TO MOST OFFICES

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3.a.	<u>Program Action Tracking System (PATS).</u>  This system enables the assistants to the Chairman to maintain information and print reports associated with the major themes of the NRC Policy and Planning Guidance (PPG), along with Management and Support. The data is stored for direct access at NIH/SCRT and is edited and updated in the Chairman's office utilizing an IBM "Displaywriter" as a terminal. The "Displaywriter" is also used to print reports for immediate use.	Retain until it has been determined that data are no longer needed; erase and reuse tapes.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<u>ADVISORY COMMITTEE ON REACTOR SAFEGUARDS</u>		
4.	<u>Keyword Index (KWIC/KWOC).</u>	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.
<u>OFFICE OF NUCLEAR REACTOR REGULATION</u>		
5.	<u>Material Surveillance (MATSURV).</u>  The system provides a data base to facilitate the storage and retrieval of information relating to license reactor pressure vessel (RPV) material surveillance programs. (Supports generic review task A-11.)	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.
6.	<u>Seismic Qualification (SEISMIC).</u>  The system maintains data and information regarding seismic equipment qualifications for NRC staff review and evaluation.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.
7.	<u>Steam Generators.</u>  This system maintains a data base of engineering information regarding reactor power plant steam generator operating experience. It is used to evaluate the qualitative and quantitative aspects of steam generator operating experience.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.
8.	<u>Franklin Institute - Licensing Action Status Monitoring System.</u>  This system is designed to monitor the status of technical assistance contracts. The software provides on-line updating of milestones and status reporting.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.

NRC SCHEDULE IV

RECORDS OF EXECUTIVE OPERATIONS

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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PART 4. INSPECTION AND ENFORCEMENT RECORDS

The records described in this schedule document the development of policies and implementation of programs for inspection and investigation of licensees, applicants, and their contractors and suppliers to: ascertain whether they are complying with NRC regulations, rules, orders and license conditions; identify conditions that may adversely affect public health and safety, the environment, or the safeguarding of nuclear materials and facilities; provide a basis for recommending issuance or denial of an authorization, permit or license; determine whether quality assurance programs meet NRC criteria; and recommend or take appropriate action regarding incidents or accidents. The records also document the development of policies and implementation of a program of enforcement action through IE and EDO Regional offices.

1. IE Issuance Files

- |   |  |
|---|--|
| a) IE official or record set of formal issuances prepared by IE staff consisting of IE Circulars, Bulletins, and Information Notices. | <u>Permanent.</u> Offer to NARS when 20 years old. |
| b) Regional office copies and other copies of issuances.  | Destroy when no longer needed.                     |

2. Inspection and Enforcement Case Files

Files documenting the inspection activity and action relating to power reactors, byproduct, source and special nuclear material licensees, including copy of license, inspection and followup reports, inspectors' notes, enforcement action documents, final certification that premises are free of radiological contamination, and related documentation.

- |  |  |
|--|--|
| a) Official Case Files located in Regional Office determined by the NRC or the NARS to have exceptional value because of the highly significant nature of their contents or their uniqueness. Included are those | <u>Permanent.</u> Offer to NARS 20 years after termination of license. |
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NRC SCHEDULE IV  
RECORDS OF EXECUTIVE OPERATIONS

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	inspection files that relate to the docket records to be retained as archives identified in NRC Schedule I, Part 3, Item 5.a) i.e., those files that:	
	1. result in judicial decisions or legislation that affect the functions and activities of NRC;	
	2. result in significant changes in regulatory activities and procedures; or	
	3. were the subject of Congressional investigation or were of great public interest.	
b)	Other case files in Regional Offices except those described in 1) through 3) below.	Retire to WNRC after final certification. Destroy 10 years after final certification.
1)	Inspection Case Files of licenses under NRC jurisdiction which are allowed to expire or are terminated or superseded and not covered by 2.b,2) below.	Destroy 3 years after final certification.
2)	Unique or special cases and/or cases where licensees are required to make extensive decontamination efforts as a result of IE clearance survey.	Destroy 20 years after final certification.
3)	Case files of both IE and Regional offices, consisting of material remaining after files are transferred to a State under agreement covering transfer of regulatory function.	Destroy 1 year after official file is transferred

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RECORDS OF EXECUTIVE OPERATIONS

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	c) Official Case Files located in IE Headquarters, such as those for vendors inspections, refer to schedule NRC IV.4-2, a and b above.	
	d) Copies of case files located in IE Offices.	Destroy 1 year after final certification.
	e) All other copies in IE, NMSS and Regional Offices:	Nonrecord. Destroy when 1 year old or earlier if no longer needed.
3.	<u>Preliminary Notification of Event or Unusual Occurrence</u> <u>PNO, PNS Files</u>  Copies of preliminary reports constituting early notice of any significant event of possible safety or public interest. The information contained in reports is as initially received by telephone or other informal notification without verification of evaluation.	Destroy when 4 years old.
4.	<u>IE Manual</u>  Record copy of the IE Manual including all changes thereto.	<u>Permanent.</u> Offer to NARS at periodic intervals when superseded or obsolete.
5.	<u>Safeguard Status Reports</u>  Monthly computer printouts containing an inventory of all nuclear material located in NRC licensed facilities throughout the United States. Reports are derived from information furnished by regional inspectors.	Destroy when superseded by new report.



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RECORDS OF EXECUTIVE OPERATIONS

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
6.	<p><u>Reports of Defects or Non-Compliance (Part 21 Reports)</u></p> <p>Numbered reports pertaining to non-compliance of law and regulations or defect made by a director or responsible officer of a firm constructing, owning, operating or supplying the components of any facility which is licensed or regulated by law. Reports are required by 10 CFR Part 21.</p>	<p>Destroy two years after matters reported have been resolved.</p>
7.	<p><u>IE Morning Reports</u></p> <p>Reports containing items of interest distributed at both headquarters and Regional offices, containing management information of interest to staff. Report is required by IE Manual.</p>	<p>Destroy when 6 months old.</p>
8.	<p><u>Nuclear Material Accountability Worksheets</u></p> <p>Worksheets maintained by regional inspectors in accounting for nuclear materials located at NRC licensed facilities.</p>	<p>Destroy when superseded or no longer needed.</p>

**BIBLIOGRAPHIC DATA SHEET**

NUREG-0910, Rev. 1  
Supplement 1

SEE INSTRUCTIONS ON THE REVERSE

2. TITLE AND SUBTITLE

NRC Comprehensive Records Disposition Schedule

3. LEAVE BLANK

4. DATE REPORT COMPLETED

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6. DATE REPORT ISSUED

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5. AUTHOR(S)

7. PERFORMING ORGANIZATION NAME AND MAILING ADDRESS (Include Zip Code)

Division of Technical Information and Document Control  
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Washington, DC 20555

8. PROJECT/TASK/WORK UNIT NUMBER

9. FIN OR GRANT NUMBER

10. SPONSORING ORGANIZATION NAME AND MAILING ADDRESS (Include Zip Code)

Same as 7, above.

11a. TYPE OF REPORT

NRC Official Records  
Disposition Schedules

b. PERIOD COVERED (Inclusive dates)

N/A

12. SUPPLEMENTARY NOTES

13. ABSTRACT (200 words or less)

In compliance with statutory requirements set forth in Title 44 U.S. Code, "Public Printing and Documents," and in the applicable regulations cited in Title 41 Code of Federal Regulations, "Public Contracts and Property Management," Chapter 101, Subchapter B, "Archives and Records," the U.S. Nuclear Regulatory Commission submitted to the General Services Administration National Archives and Records Services, and to the Comptroller General a schedule (commonly referred to as a disposition or retention schedule) proposing the appropriate duration of retention and the final disposition for records created or maintained by the NRC.

14. DOCUMENT ANALYSIS - a. KEYWORDS/DESCRIPTORS

Disposition Schedule  
Official Records

b. IDENTIFIERS/OPEN EXP. DED TERMS

15. AVAILABILITY STATEMENT

Unlimited

16. SECURITY CLASSIFICATION

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