
NRC Comprehensive Records Disposition Schedule

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Office of the Chief Information Officer
U.S. Nuclear Regulatory Commission
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NRC Comprehensive Records Disposition Schedule

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NUREG-0910, "NRC Comprehensive Records Disposition Schedule", Revision 3, dated January, 1998, replaces NUREG-0910 Revision 2 in its entirety. This revision contains several key changes to the previous schedule. These changes are listed below.

- The NRR, NMSS and the Regional records schedules pertaining to power plant and materials licensing docket files and their related inspection and enforcement files were revised to make decommissioning records permanent.
- The NMSS and Regional material licensing records schedules were changed to increase the retention period for non-permanent case files.
- The Office of the Commission records schedules were revised to add the schedule Office Files of the Chairman and Commissioners.
- Uranium Recovery Field Office (URFO) records schedules were transferred to NMSS as a result of the abolishment of the URFO office.
- The Office of the Secretary records schedules were changed to reflect the transfer of the Public Document Room to the Office of the Chief Information Officer.
- The Office of Administration records schedules were changed to reflect transfer of printing and graphic functions to the Office of the Chief Information Officer.
- The Office of Human Resources record schedule for Health Records Files was deleted. Health Records Files are covered by the General Records Schedules..
- Several Office of Nuclear Reactor Research records schedules were changed to replace schedules rescinded by NARA Bulletin 88-2. This bulletin required agencies to submit new schedules for research and development records that were scheduled using earlier NARA general records schedules.
- Recent organizational changes have been reflected in this revision.

INTRODUCTION TO THE NRC COMPREHENSIVE RECORDS DISPOSITION SCHEDULE

The NRC Comprehensive Records Disposition Schedule (CRDS) provides the authorized disposition for all NRC records. Each record schedule has been approved by the appropriate NRC officials, and the General Accounting Office, when appropriate, and is authorized by the Archivist of the United States. Application of the disposition schedules is mandatory and is in accord with the National Archives and Records Administration's regulations provided in 36 CFR Part 1228, "Disposition of Federal Records" and statutory requirements set forth in Title 44 U.S. Code, "Public Printing and Documents." NRC's implementing policies are contained in NRC Management Directive 3.53, "NRC Records Management Program".

The CRDS is comprised of NRC Schedules (NRCS) 1 and 2 that apply to NRC's unique administrative and programmatic records, and General Records Schedules (GRS) 1-23 that apply to administrative records that are common to most agencies. NRCS 1 applies to records common to all or most NRC offices, NRCS 2 applies to the records unique to each NRC office. Records that do not have an applicable disposition schedule must be retained until disposition authority is obtained. Procedures for establishing new schedules or revising the retention period for existing schedules are provided in NRC Management Directive 3.53.

Official records are retained in a network of official file stations that are managed by File Custodians. Each official file station has a "Files Maintenance and Disposition Plan" (NRC Form 306) that correlates the record schedule with each record collection retained at the file location. Records Liaison Officers retain a collection of these plans to ensure availability to staff.

Procedures for the retirement or disposal of NRC records are issued from the Information and Records Management Branch, Office of Chief Information Officer. Comments or questions regarding the Comprehensive Records Disposition Schedule or its application may be directed to the Chief, Information and Records Management Branch.

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NRC SCHEDULE 1

RECORDS COMMON TO MOST OFFICES

PART 1. ADMINISTRATIVE FILES COMMON TO MOST OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
1.	<u>Employee Travel Files</u> Correspondence, requests, travel authorizations and orders, itineraries, travel vouchers, and similar papers pertaining to employee travel exclusive of records maintained in the Office of the Chief Information Officer.	Cut off at close of fiscal year. Destroy when 1 year old.	NCI-431-81-5 Item 1.1.6
2.	<u>Office General Personnel Files</u> Documents that relate to the day-to-day administration of personnel in individual offices. Included are notices of holidays and hours worked; notices and lists of persons to attend training sessions; papers concerning participation in employee and community affairs; campaigns and drives; and comparable or related papers arranged as appropriate.	Cut off at close of fiscal year. Destroy when 2 years old.	NCI-431-81-5 Item 1.17
3.	<u>Office Organization Reference Files</u> Documents relating to the organization and function of an office. Included are copies of organization and functional	Destroy when superseded, obsolete, or no longer needed for reference.	NCI-431-81-5 Item 1.1.4

NRC SCHEDULE 1

RECORDS COMMON TO MOST OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
	<p>charts and statements; documents relating to office staffing; and documents concerning functional assignments and changes. Also included are documents reflecting minor changes in the office organization or functional assignments which are made by the office chief.</p>		
4.	<p><u>Policy and Precedent Reference Files</u></p> <p>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.</p>	<p>Destroy when organizational unit is discontinued or when documents become obsolete or are no longer needed for operating or reference purposes.</p>	<p>NC1-431-81-5 Item 1.1.12</p>

NRC SCHEDULE 1

RECORDS COMMON TO MOST OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
5.	<u>Reading or Chronological Files</u> Extra copies of correspondence prepared and maintained by the originating office, used solely as a reading or reference file for the convenience of personnel. <u>Exception</u> Applicable to the Commissioners' chronological file of outgoing correspondence comprised of letters signed by the Commissioners. See NRC Schedule 2, Part 6, Item 1.	Cut off at close of fiscal year. Destroy when 1 year old or when reference value has been exhausted, whichever is sooner.	NC1-431-81-5 Item 1.1.11
6.	<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.	NC1-431-81-5 Item 1.1.14

NRC SCHEDULE 1

RECORDS COMMON TO MOST OFFICES

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	
7.	<u>Reimbursable Agreements and Contract Files</u> Includes all contractual and reimbursable agreement files (under Memorandum of Understanding - DOE/NRC) pertaining to work done for NRC by any outside source.		NC1-431-81-5 Item 1.1.9
	a. Transactions of more than \$25,000 and all construction contracts exceeding \$2,000.	Destroy 6 years and 3 months after final payment.	
	b. Transactions of \$25,000 or less and construction contracts under \$2,000.	Destroy 3 years after final payment.	
8.	<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.	NC1-431-81-5 Item 1.1.13
9.	<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,	Review annually and destroy material of no further reference value.	Nonrecord (GRS-23-6 Oct. 1982)

NRC SCHEDULE 1

RECORDS COMMON TO MOST OFFICES

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA APPROVED <u>CITATION</u>
	<p>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 NARA.</p>		
10.	<p><u>Vu-graphs</u> Vu-graphs maintained in any NRC office.</p>	<p>Destroy when no longer needed.</p>	<p>NCI-431-81-4 Item 2.c</p>
11.	<p><u>Weekly Status Reports</u> Files consist of internal narrative reports containing items of interest on program activities submitted by NRC offices weekly to the Commission.</p>	<p>Destroy when one year old.</p>	<p>NCI-431-81-5 Item 1.1.8</p>

NRC SCHEDULE 1

RECORDS COMMON TO MOST OFFICES

PART 2. PROGRAMMATIC FILES COMMON TO MOST OFFICES

ITEM	<u>NO.</u> <u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA APPROVED <u>CITATION</u>
1.	<u>Committee and Conference Records</u>		
	a. Records relating to establishment, organization, membership and policy.		NC1-431-81-5 Item 1.5.30
	(1) Interagency and international committees.	<u>Permanent.</u> Offer to NARA 10 years after NRC involvement terminates.	
	(2) Internal committees.	Destroy 2 years after termination of committee.	
	b. Records created by committees.		
	(1) Agenda, minutes, final reports, and related records documenting accomplishments.		
	(a) Records created when NRC is the sponsor agency.	<u>Permanent.</u> Offer to NARA 20 years after NRC involvement terminates.	
	(b) All other copies.	Destroy when 3 years old or when no longer needed for reference.	
	(2) All other committee records.	Destroy when 3 years old or when no longer needed for reference.	

NRC SCHEDULE 1

RECORDS COMMON TO MOST OFFICES

ITEM	<u>NO.</u> <u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA APPROVED <u>CITATION</u>
2.	<u>General Program Correspondence Files (Subject Files)</u>		NC1-431-81-5 Item 1.2.15
	Letters, memoranda, messages, studies, reports, forms, and other data documenting and/or implementing plans, policies, procedures, accomplishments, opinions, and decisions pertaining to NRC program and staff activities.		
	<p>a. <u>Program Correspondence Files at the office level</u> or above. These files document policymaking decisions or significant NRC program management functions. They are accumulated by the Advisory Committee or Reactor Safeguards (ACRS), the Secretary of the Commission, Office Directors reporting to the Commission, and those reporting to the Office of the Executive Director for Operations and are filed in either large central collections or in decentralized locations. Excluded is that program correspondence which documents routine transactions and covered by item 2.c. below.</p>	<u>Permanent.</u> Cut off at close of fiscal year. Hold 2 years and retire to WNRC. Offer to NARA when 20 years old.	

NRC SCHEDULE 1

RECORDS COMMON TO MOST OFFICES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA APPROVED CITATION
b.	<u>Program Correspondence Files maintained at the division level and below in NRC Headquarters Offices and in Regional Offices</u>	Cut off at close of fiscal year. Hold 2 years and retire to FARC/WNRC as appropriate. Destroy 10 years after cutoff.	
c.	<u>Routine Program Correspondence Files maintained at organizational levels.</u> Files documenting program transactions of a routine or recurring nature, the record content of which is summarized or duplicated in Item 2.a. or b. above.	Destroy when two years old or sooner if purpose has been served.	
3.	<u>Regulatory History Files for Proposed and Final Rulemaking</u> Case files documenting proposed and final rulemakings. Contents include interoffice correspondence, all source documents relied upon in preparing proposed and final rules, public comments, Committee For Review Of Generic Requirements (CRGR) minutes and recommendations, ACRS comments, Commission papers, transcripts, indexes, and Federal Register Notices.		

NRC SCHEDULE 1

RECORDS COMMON TO MOST OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
a.	Official case files located in originating offices of NRC.	<u>Permanent.</u> Transfer to NRC Archive Facility (ORAF) 2 years after issuance. Offer to Nara in 5-year blocks when 20 years old.	NC1-431-85-1 Item 1
b.	Indexes to official case files maintained by the Regulatory Publications Branch, Office of Administration.	<u>Permanent.</u> Offer to NARA in 5-year blocks when 20 years old.	

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 1. RECORDS OF THE OFFICE OF ADMINISTRATION

The Office of Administration (ADM) is responsible for providing centralized administrative services in the areas of procurement, property management, facilities support, transportation, rulemaking support, Freedom of Information Act requests, publications services, local public document rooms, and security.

The following record schedules were developed for records unique to ADM. Reference NRC Schedule 1, "Records Common To Most Offices", and the General Records Schedules 1 through 23 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>Administrative Budget Control (ABC)</u> This system is a budget and funds control and management information system for items of concern for the Office of Administration.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 13.I.1
2.	<u>Central Personnel Clearance Index (CPCI)</u> This batch-mode system maintains data and information on the security clearance status of NRC and NRC contractor personnel. This system will be replaced by a redesigned and upgraded online system.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 12.J.2

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>APPROVED CITATION</u>
3.	<p><u>Classified Document Control System (CDCS)</u></p> <p>The system maintains data and information for the review of document classification for the determination of declassification or continued classification of national security information and material according to established criteria.</p>	<p>Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.</p>	<p>NC1-431-81-2 Item 12.J.4</p>
4.	<p><u>Contracts System</u></p> <p>The system maintains data and information on contract pre-award, post-award and status, such as: action requested, date RFP issued, estimated cost, dollar value, award date, expiration date, contract type number, contractor name, contract title, and program office contact.</p>	<p>Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.</p>	<p>NC1-431-81-2 Item 13.I.2</p>
5.	<p><u>Directives Case Files</u></p> <p>Internal directives issued at the Commission level, maintained in the Office of Administration.</p> <p>a. Record copy documenting important aspects of the development of the issuance.</p>	<p>Permanent. Offer to NARA when 10 years old.</p>	<p>NC1-431-81-5 Item 1.5.31</p>

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>APPROVED CITATION</u>
	b. Working papers and background material.	Destroy 6 months after directive is issued.	
	c. Other copies of directives.	Destroy when superseded.	
6.	<u>Drug Testing Program Files</u> Superseded by GRS 1-36.		
7.	<u>Grants Files</u> (Also reference GRS 3-14, "Grant Administrative Files.")		
	a. Case files of contracts, reports, studies, agreements, correspondence, and other records relating to receipt, award, and monitoring of grants.	Destroy 6 years and three months after case is closed.	NC1-431-81-5 Item 1.5.33
	b. Reports, books, studies, or any other final grant product and related records accumulated in the Division of Contracts and Property Management.	<u>Permanent.</u> Offer to NARA when 10 years old.	
8.	<u>Holding Action System (HAS)</u> This system maintains locator information on all documents in the printing and distribution cycle.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 13.I.9

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>APPROVED CITATION</u>
9.	<u>Organizational Records</u>		
	Official organization charts, telephone books and related records which document the organization and functions of the agency.		
	a. Record copy maintained by the Office of Administration.	<u>Permanent</u> . Offer to NARA when 10 years old.	NC1-431-81-5 Item 1.5.35
	b. All other copies.	Destroy when superseded or obsolete.	
10.	<u>Property and Supply System (PASS)</u>		
	The Property and Supply System maintains records of all NRC actions concerning property and supplies. Examples such as: property and supply transactions, maintenance transactions, warehouse inventory, consumable usage, stockage reorder points, NRC item identification catalog, abnormal maintenance incident rates, fiscal data for contract renewal, and suspense items overdue returned from vendor.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 13.I.4

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	APPROVED CITATION
11.	<u>Security Policy Files</u>		
	Manuals, directives, plans, reports, and correspondence reflecting policies and procedures developed by Division of Security, Office of Administration in the administration and direction of security and protective services programs.	<u>Permanent.</u> Offer to NARA when 10 years old.	NC1-431-81-5 Item 1.5.37
12.	<u>Security Violations (Felonies) Files</u>		
	Case files relating to investigations of alleged security violations of exceptional historical and evidential value. Maintained by Division of Security, Office of Administration.	<u>Permanent.</u> Offer to NARA when 10 years old.	NC1-431-81-5 Item 1.5.38
13.	<u>Still Photography Files</u>		
	a. Portraits of NRC Chairman and Commissioners, maintained by the Audiovisual Support Services, Management Support Staff, Office of Administration, and photographs of reactor sites and noteworthy NRC-related activities. Arranged by name or subject.		
	(1) The original negative and captioned print or contact sheet, and inter-negative, if one exists.	<u>Permanent.</u> Break file every five years. Offer to NARA five years after file break.	NC1-431-81-4 Item 1.a

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RECORDS OF NRC OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>APPROVED CITATION</u>
	(2) Duplicate prints maintained in any NRC office.	Destroy when no longer needed	
b.	35mm color slides of reactor sites, maintained by Audiovisual Support Services, Management Support Staff, Office of Administration, arranged by reactor name.		
(1)	The original transparency and one duplicate, if one exists.	<u>Permanent</u> . Break file every five years. Offer to NARA five years after file break.	NC1-431-81-4 Item 1.b
(2)	Duplicate copies maintained by any NRC office.	Destroy when no longer needed.	
c.	Portraits of NRC officials below the Commissioner level, and photographs of routine activities such as awards, retirements, and administrative functions, maintained by the Audiovisual Support Services, Management Support Staff, Office of Administration.	Destroy when no longer needed.	

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RECORDS OF NRC OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>APPROVED CITATION</u>
14.	<u>Systems Security Records</u>		
	a. <u>Access Request Files</u>		
	Requests and authorization for individuals to have access to communication security (COMSEC) information.	Destroy 2 years after authorization expires.	NC1-431-81-5 Item 1.5.39
	b. <u>Document and Material Transfer Records</u>		
	COMSEC document and material transfer records, package receipts and COMSEC material reports, SF-153.	Destroy 2 years after completion of transaction.	NC1-431-81-5 Item 1.5.39
	c. <u>Inventory of COMSEC Documents and Material</u>		
	(1) Periodic inventories of COMSEC documents and material in cases where no discrepancies exist.	Destroy after the succeeding inventory is submitted and verified.	NC1-431-81-5 Item 1.5.39
	(2) Periodic inventories of COMSEC documents and material where discrepancies exist.	Destroy after the succeeding inventory is submitted and verified and all discrepancies resolved.	
	(3) Inventories conducted on change or absence of COMSEC custodian.	Destroy 1 year after conducted, verified, and all discrepancies resolved.	

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RECORDS OF NRC OFFICES

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>APPROVED CITATION</u>
(4)	Inventories conducted periodically or on change or absence of COMSEC custodian where irregularities exist or have existed.	Destroy when all purposes have been served.	
d.	<u>Loss or Compromise of Accountable COMSEC Documents or Material</u>		
	Message reports, letter reports, or other documents relating to loss or compromise of accountable COMSEC documents or material.	Destroy only after accountability established or evidence of compromise negated.	NC1-431-81-5 Item 1.5.39
e.	<u>Document and Material Destruction</u>		
	Key card disposition record, key list disposition record, and other records of destruction of accountable COMSEC documents or material.	Destroy when 2 years old.	NC1-431-81-5 Item 1.5.39
f.	<u>Reportable Telecommunications Insecurities</u>		
	Reports of any deviation or incident which could adversely affect the security of a telecommunication system.	Destroy 5 years after all action has been completed.	NC1-431-81-5 Item 1.5.39

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RECORDS OF NRC OFFICES

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>APPROVED CITATION</u>
g. <u>Security Proposals for the Establishment of Centers and Use of Equipment</u>	Security proposals for the establishment of secure communications centers, installation of equipment, or systems. changed.	Destroy 2 years after the center is deactivated, equipment has been replaced or system is	NC1-431-81-5 Item 1.5.39
h. <u>Equipment</u>	List of equipment comprising a secure telecommunications system (e.g., terminal equipment, cryptographic equipment and modems).	Destroy when no longer applicable.	NC1-431-81-5 Item 1.5.39
i. <u>Floor Plans</u>	Floor plans of secure communications centers showing the location of equipment, the construction of walls, floors, and ceilings of the room(s), or separate architectural details such as doors, windows, or ducts.	Destroy when secure communications centers have been relocated.	NC1-431-81-5 Item 1.5.39
j. <u>Installation Drawings</u>	Installation drawings, e.g., wiring diagrams and conduit plans for the secure telecommunications equipment.	Destroy when equipment has been replaced.	NC1-431-81-5 Item 1.5.39

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RECORDS OF NRC OFFICES

ITEM	NO. DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	APPROVED CITATION
k.	<u>Standard Operating Instructions</u>	Destroy when secure communications center is no longer operable.	NC1-431-81-5 Item 1.5.39
l.	<u>Tempest and Acoustic Tests</u> Documents relating to Tempest tests or tests conducted of secure communications centers.	Destroy after subsequent tests have been conducted and results approved.	NC1-431-81-5 Item 1.5.39
m.	<u>Audio Countermeasure Inspection Files</u>	Destroy after the succeeding inspection is conducted.	NC1-431-81-5 Item 1.5.39
15.	<u>Video Recording Files</u>		
a.	NRC-sponsored 3/4-inch video productions intended for public distribution. These include educational programs produced by Los Alamos Scientific Laboratory and distributed by the National Audiovisual Center.	<u>Permanent.</u> Offer master and one dubbing to NARA when no longer in current distribution.	NC1-431-81-4 Item 3

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RECORDS OF NRC OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>APPROVED CITATION</u>
b.	Off-the-air recordings of media coverage of NRC-related activities and events, or appearances of NRC officials.	Erase and reuse when no longer needed.	
c.	Original 3/4-inch video recordings of public meetings, speeches, conferences, testimony of NRC officials before Congress and other hearings made and maintained by the Audiovisual Support Services, Management Support Staff, Office of Administration.	<u>Permanent</u> . Break file every five years. Offer master and one dubbing to NARA five years after file break.	
d.	Video productions purchased from outside sources for technical training of NRC staff and maintained in the Audiovisual Support Services, Management Support Staff, Office of Administration.	Destroy and reuse when no longer needed.	
e.	Duplicate dubbings of any recording described in a, b, c, or d above maintained by any NRC office.	Erase and reuse when no longer needed.	

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 2. RECORDS OF THE ADVISORY COMMITTEE ON NUCLEAR WASTE

The Advisory Committee on Nuclear Waste (ACNW) shall report to and advise the Nuclear Regulatory Commission (NRC) on all aspects of nuclear waste management, as appropriate, within the purview of NRC's regulatory responsibilities. The primary emphasis will be on disposal but will also include other aspects such as handling, processing, transporting, storing, and safeguarding nuclear wastes including spent fuel, nuclear wastes mixed with other hazardous substances, and uranium mill tailings. In performing its work, the Committee will examine and report on specific areas of concern referred to it by the Commission or designated representatives of the Commission. The Committee is authorized to undertake other studies and activities on its own initiative, as appropriate, to carry out its responsibilities.

The following record schedules were developed for records unique to the ACNW. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 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>Advisory Committee on Nuclear Waste (ACNW) Project Case Files</u>		
a.	Official project case files containing records generated or received by ACNW that reflect the committee's analyses and recommendations on specific activities relating to the regulation and licensing of high-level waste repositories and low-level waste disposal facilities. Such activities include handling, processing, transporting, storing and safeguarding nuclear waste, including but not limited to	<u>Permanent.</u> Cut off files annually and retire to IRMB when 2 years old. Offer to NARA when 20 years old.	N1-431-88-1 Item 1

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RECORDS OF NRC OFFICES

spent fuel, nuclear waste mixed with other hazardous substances, and uranium mill tailings.

b. All other copies

Destroy when 2 years old or when no longer needed for reference.

2. Consultants' Reports

Reports prepared by advisory committee consultants specific to studies/special projects that are maintained by ACNW and used to aid the ACNW in making recommendations to the Commission and to aid the Commission in decision-making that pertains to all aspects of nuclear waste.

Permanent. Cut off files annually and retire to IRMB when 2 years old. Offer to NARA when 20 years old.

N1-431-88-1
Item 3

3. Minutes of the Committee

Files maintained by the Secretary of ACNW containing certified minutes of the general and subcommittee meetings with appropriate enclosures arranged chronologically.

Permanent. Cut off files annually and retire to IRMB when 2 years old. Offer to NARA when 20 years old.

N1-431-88-1
Item 4

4. Program Correspondence Files

a. Records generated or received by ACNW in the conduct of business that are used as bases for advising the Commission on all aspects of the nuclear waste management program; e.g., its direction and imple-

Permanent. Cut off files annually and retire to IRMB when 2 years old. Offer to NARA when 20 years old. (See NRC Schedule 1-2.2.a)

N1-431-88-1
Item 2

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RECORDS OF NRC OFFICES

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	mentation, and resulting documentation that reflects Commission policy making decisions.		
	b. All other copies	Destroy when 2 years old or no longer needed for reference.	
5.	<u>Waste Management Licensing Files</u>		
	a. Copies of Waste Management Licensing Files maintained by ACNW and used for its review and analysis of waste management issues and the formulation of recommendations to the Commission on the licensing of waste management activities. These files reflect the issuance of construction permits and the licensing of the U.S. Department of Energy to receive and possess byproduct, source, and special nuclear material at a geologic repository and the licensing of companies, institutions, and facilities to receive, possess, and dispose of low-level radioactive wastes containing byproduct, source, and special nuclear material at a land disposal facility pursuant to Parts 60 and 61, Title 10, Code of Federal Regulations. Documents	Maintain for life of committee.	N1-431-88-1 Item 5

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RECORDS OF NRC OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
	include applications, site characterizations, licenses, license amendments, and related documentation. The official record copy is retained in NRC's File Center and is scheduled under NRCS 2-19.2 and 2-19.3.		
b.	All other copies.	Destroy when 2 years old or when no longer needed for reference.	

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 3. RECORDS OF THE ADVISORY COMMITTEE ON REACTOR SAFEGUARDS

The Advisory Committee on Reactor Safeguards (ACRS) reviews safety studies and applications for construction permits and facility operating licenses, and makes reports thereon; advises the Commission with regard to hazards of proposed or existing reactor facilities and the adequacy of proposed reactor safety standards; upon request of the Department of Energy (DOE), reviews and advises with regard to the hazards of DOE nuclear activities and facilities; reviews any generic issues or other matters referred to it by the Commission for advice. On its own initiative may conduct reviews of specific generic matters or nuclear facility safety-related items. Conducts studies of reactor safety research, prepares, and submits annually to the U.S. Congress a report containing the results of such study.

The following record schedules were developed for records unique to the ACRS. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 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>ACRS Members' Personnel Files</u> Records pertaining to the background of individual members of the Committee and containing information on their activities during their membership with the Committee.	Retain for life of committee, then destroy immediately.	NC1-431-81-5 Item 3.2
2.	<u>Annual Reports of the ACRS to the U.S. Congress</u> Reports pertaining to ACRS evaluation of the effectiveness of NRC effort in reactor safety research issued as NUREG documents and retained permanently in microfiche form (See NRCS 2, Part 14, Item 8.a.2).		NC1-431-81-5 Item 3.8

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ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>CITATION</u>
a.	Paper copies of annual reports.	Destroy when microfiche copies have been determined to be an adequate substitute for original records.	
b.	Reference copies of microfiche. Committee.	Retain for life of	
3.	<u>Classified Defense Information File</u>		
	Reports, correspondence, and other records pertaining to DOD reactors and to DOE production facilities, arranged by subject.	<u>Permanent.</u> Offer to NARA when 20 years old.	NC1-431-81-5 Item 3.11
4.	<u>Committee Files on Regulation Guidelines</u>		
	Correspondence, memoranda, and reports pertaining to committee and public comments on the formulation of all NRC regulations relating to nuclear operating standards, arranged numerically by NRC Regulatory Guide number.	<u>Permanent.</u> Offer to NARA when 20 years old.	NC1-431-81-5 Item 3.5
5.	<u>Consultant Personnel Files</u>		
	Correspondence, reports, and other records pertaining to the qualifications and employment of outside technical advisors or consultants under contract with ACRS.	Destroy 10 years after termination of contract.	NC1-431-81-5 Item 3.6

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ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA APPROVED <u>CITATION</u>
6.	<u>General Program Correspondence Files</u>	Apply the applicable disposition standards contained in NRCS #1, Part 2, Item 2, subject to the record-keeping requirements imposed by the Federal Advisory Committee Act (PL-92-463).	NC1-431-81-5 Item 3.1
7.	<u>Keyword In Context/Out of Context 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.	NC1-431-81-2 Item 13.K
8.	<u>Minutes of the Committee</u>	<u>Permanent.</u> Offer to NARA when 20 years old.	NC1-431-81-5 Item 3.3
	a. Complete set of formal minutes of general and subcommittee meetings with all attachments. Arranged chronologically.	Destroy when no longer needed.	
	b. Silver master of microfiche minutes prepared (without all attachments and containing some deletions) for Public Document Room use.	Destroy when no longer needed.	
	c. Reference copies of microfiche.		

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
9.	<u>Nuclear Power Plant Docket Files</u> 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.	Maintain for life of Committee.	NC1-431-81-5 Item 3.10
10.	<u>Nuclear Reactor Project Files</u> Case files on individual nuclear reactors including correspondence memoranda, studies, reports, and analyses pertaining to nuclear safety-related matters. Arranged alphabetically by name of reactor.	<u>Permanent.</u> Offer to NARA 10 years after termination of license.	NC1-431-81-5 Item 3.9

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RECORDS OF NRC OFFICES

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA APPROVED CITATION
11.	<u>Reports of Consultants</u>		
	Reports submitted by advisory consultants, pertaining to various aspects of nuclear reactor safety.		
	a. Silver master and one diazo copy for each formal report.	<u>Permanent.</u> Offer to NARA when 20 years old.	NC1-431-81-5 Item 3.7
	b. Extra copies of reports in paper or microfilm form.	Destroy when no longer needed for reference.	
12.	<u>Transcripts of ACRS Meetings</u>		
	Transcripts of verbatim accounts of all general and subcommittee meetings.		
	a. Paper copies of transcripts.	Destroy when microfiche copies have been determined to be an adequate substitute for original records.	NC1-431-81-5 Item 3.4
	b. Silver master and diazo duplicate of microfiche copies of transcripts.	<u>Permanent.</u> Offer to NARA when two years old.	
	c. Reference copies of microfiche. needed.	Destroy when no longer	

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 4. RECORDS OF THE OFFICE FOR ANALYSIS AND EVALUATION OF OPERATIONAL DATA

The Office for Analysis and Evaluation of Operational Data (AEOD) is responsible for assuring the proper analysis of operational data associated with all NRC-licensed activities and the feedback of such analyses to improve safety. This office identifies key analyses to be conducted, taking into account such factors as postulated accident sequences and data availability; selects appropriate analytical techniques and proposes data gathering mechanisms for data not currently available; conducts systematic safety analyses and evaluations of operational data to seek trends that would forecast a potential problem; develops recommendations to resolve problems revealed by operational data analyses and evaluations; provides analytical guidance to, accept technical input from, and coordinate efforts of, operational data analysis groups in other NRC offices; reviews overall NRC and industry response to assess implementation of recommended actions; and serves as focal point for interaction with ACRS and industry groups involved in operational data analysis and evaluation.

The following record schedules were developed for records unique to AEOD. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 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>Abnormal Occurrence Case Files</u> All formal correspondence with detailed background documentation relating to preparation of abnormal occurrence reports submitted quarterly to Congress.	<u>Permanent.</u> Cut off files every 3 years and transfer to FRC. Offer to NARA when 20 years old.	NCI-431-87-1 Item 1

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ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>CITATION</u>
2.	<p><u>Aerial Photography of Facilities</u></p> <p>Aerial and oblique photography of facilities maintained by AEOD in connection with emergency response. Prints and some negatives are maintained in NRC and remaining negatives are maintained by contractor. Photographs cover approximately 70 sites and are arranged alphabetically by name of site.</p>	<p><u>Permanent.</u> Break file every 10 years and offer to NARA 10 years after file break.</p>	<p>NC1-431-81-4 Item 1.d</p>
3.	<p><u>Audio Cassettes for Technical Training</u></p> <p>Audio Cassettes purchased from outside sources for technical training of NRC Staff.</p>	<p>Erase and reuse when no longer needed.</p>	<p>NC1-431-81-4 Item 4.a</p>
4.	<p><u>Case Study Report Files</u></p> <p>Copies of reports with all background documentation providing detailed information on formal evaluations of events with the highest potential risk to the public as identified by prior screening of Licensee Event Reports (LERs) by AEOD engineers. Arranged numerically by case study number.</p>	<p><u>Permanent.</u> Offer to NARA when 20 years old.</p>	<p>NC1-431-81-5 Item 4.1.2</p>

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ITEM	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA APPROVED <u>CITATION</u>
5.	<u>Emergency Planning Files</u>		
	a. Case files accumulated in AEOD, consisting of a record copy of each plan or directive issued, with related background papers.	<u>Permanent.</u> Offer to NARA when 20 years old.	NC1-431-81-1 Item 3.a
	b. Record set of NRC reports of operation tests accumulated in AEOD, consisting of consolidated or comprehensive reports reflecting NRC-wide results of tests conducted under emergency plans.	<u>Permanent.</u> Offer to NARA when 20 years old.	NC1-431-81-1 Item 3.b
	c. Copies of records pertaining to office participation in emergency planning exercises and tests maintained in the various offices throughout NRC.	Destroy when superseded or obsolete.	NC1-431-81-1 Item 3.c
6.	<u>Emergency Planning Maps</u>		
	Maps are used in NRC's emergency preparedness program.		
	a. Record set maps, developed from U.S. Geologic Survey (USGS) 7.5 minute series topographical maps depicting a 10 mile radius of each nuclear power plant.	<u>Permanent.</u> Offer to NARA when 10 years old.	NC1-431-81-3 Item 1

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b. Record set of maps of the ingestion pathway emergency planning zone depicting a 50-mile radius of each power plant. Maps are developed from USGS 1:250,000 scale series topographic maps.

Permanent. Offer to NARA when 10 years old.

c. Copies of maps described in a. and b. above.

Destroy when superseded or obsolete.

7. Operational Data and Information Screening Files

Files consist of document control sheets describing AEOD's review of LERs and other operational data and information submitted for final review.

Destroy when five years old or one year after completion of formal case study, whichever occurs first.

NC1-431-81-5
Item 4.1.1

8. Regulatory Information Tracking System - AEOD (AEOD-RITS)

AEOD-RITS is an integration of two computer systems (Technical Assignment Control System [TACS] and Manpower System [MPS]) which are updated weekly. Data within the system are retained by staff member, licensee, and technical assignments. The system retains current and historical data on project schedules and staff resources.

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

NC1-431-81-2
Item 12.I.1

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA APPROVED CITATION
9.	<u>Telephone Recordings Alerting the NRC Duty Officer</u>		
	a. Telephone recording from NRC Licensees (Nuclear Power Plants) alerting the NRC duty officer of unusual occurrences or events as required by 10 CFR 50.72. Recordings that result in significant changes in regulatory activities and procedures and are the subject of Congressional investigations or hearings, or will be of great interest to public.	<u>Permanent.</u> Offer to NARA when 5 years old or when no longer needed, both multichannel original tapes and re-recordings done on standard 1/4-inch audio tape, full-track, at 1-7/8 IPF or higher. Available transcripts should accompany the recordings.	NC1-431-83-5 Item 1
	b. Those recordings that have significant value but not the magnitude of 1 above.	Retain for 3 years, erase and reuse tape.	
	c. Those recordings that are of routine nature day-to-day.	Erase and reuse tape.	
10.	<u>Training Aids</u>		
	a. One copy of each manual, syllabus, textbook, and other training aid for management and technical subjects developed by the Commission and maintained by the Human Resources Development staff, Office of Human Resources and the AEOD Training officers, both Headquarters and Chattanooga, Tennessee.	<u>Permanent.</u> Offer to NARA when 10 years old.	NC1-431-81-5 Item 1.5.40

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

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the AEOD Training officers,
both Headquarters and
Chattanooga, Tennessee.

- b. Training aids from other
agencies or private
institutions.

Destroy when superseded
or obsolete.

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 5. RECORDS OF THE ATOMIC SAFETY AND LICENSING BOARD PANEL

The Atomic Safety and Licensing Board Panel (ASLBP) develops procedures applicable to activities of hearing boards and makes appropriate recommendations to the Commission relating to the conduct of hearings, and hearing procedures for the guidance of the boards. ASLBP conducts such hearings as the Commission may authorize or direct; make such intermediate or final decisions as the Commission may authorize in proceedings to grant, suspend, revoke, or amend licenses or authorizations; and perform such other regulatory functions as the Commission deems appropriate.

The following record schedules were developed for records unique to the ASLBP. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 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>Advisory Screening Committee Consultant Personnel Files</u> Correspondence, reports, and other records pertaining to the qualifications and employment of outside technical advisors or consultants under contract with the Committees.	Destroy ten years after termination of contract.	NC1-431-81-5 Item 2.2.6
2.	<u>Memoranda to Panel Board Members</u> Memoranda of an informational nature on technical matters of use to full-time and part-time panel members, arranged numerically by memorandum numbers within fiscal years.		
a.	Legal memos.	<u>Permanent.</u> Offer to NARA when 20 years old.	NC1-431-81-5 Item 2.2.2

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

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ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA APPROVED CITATION
	b. Technical memos.	<u>Permanent.</u> Offer to NARA when 20 years old.	
3.	<u>Minutes of Advisory Screening Committees</u>		
	Minutes of each advisory screening committee and copies of other documents related to the minutes.	Retain for life of committee	NC1-431-81-5 Item 2.2.5
4.	<u>Panel Board's Monthly Status Report to Commissioners</u>		
	Reports from the Chairman of the Panel to the Commission summarizing the activities of the Board.	Destroy when 10 years old. Cut off files annually.	NC1-341-81-5 Item 2.2.3
5.	<u>Power Reactor License Docket Files of the ASLBP</u>		
	Case files containing copies of license applications, staff papers, letters of intervenors, letters from the Board, I&E Reports, Commissioners' Reports, and other docket-related documentation.	Cut off files upon completion of ASLBP action. Retire inactive files in annual blocks. Destroy inactive files when 4 years old.	N1-431-89-3 Item 1
6.	<u>Transcripts of ASLBP Hearings</u>		
	Verbatim transcripts of the formal ASLBP hearings. These transcripts are filed in the Commission's Official Decisional Docket File (NRC Schedule 2, Part 25, Item 4).	Destroy when no longer needed for reference.	NC1-431-81-5 Item 2.2.4

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 6. RECORDS OF THE OFFICE OF THE COMMISSION

The Commission is responsible for licensing and regulating nuclear facilities and materials, and for conducting research in support of the licensing and regulatory process, as mandated by the Atomic Energy Act of 1954, as amended, the Energy Reorganization Act of 1974, as amended, and the Nuclear Nonproliferation Act of 1978; and in accordance with the National Environmental Policy Act of 1969, as amended, and other applicable statutes. These responsibilities include protecting public health and safety, protecting the environment, protecting and safeguarding materials and plants in the interest of national security, and assuring conformity with antitrust laws. Agency functions are performed through: standards-setting and rulemaking; technical reviews and studies; conduct of public hearings; issuance of authorizations, permits, and licenses; inspection, investigation, and enforcement; evaluation of operating experience; and research. The Commission is composed of five members, appointed by the President and confirmed by the Senate, one of whom is designated by the President as Chairman. The Chairman is the principal executive officer and the official spokesman of the Commission.

The following record schedules were developed for records unique to the Commission. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 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>Commissioners' Chronological Files</u> Copies of all outgoing correspondence and reports prepared by the individual commissioners, arranged chronologically.	<u>Permanent.</u> Offer to NARA when 10 years old.	NC1-431-81-5 Item 2.1.1

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

2. Office Files of the Chairman and Commissioners

Notes, memoranda, correspondence, copies of e-mail, and other papers accumulated in the offices of the Chairman or the Commissioners that are written by or exchanged between a Commissioner and members of his/her personal staff or written by or exchanged between members of the Commissioner's staff, received by the Commissioner or his/her staff from another Commissioner or member of his/her staff that were not circulated to other Commissioner offices, received from any other NRC source, from Congress, from other government agencies, or from members of the public that were not circulated to other Commissioner offices, and transcripts of telephone conversations relating to agency business, and copies of agency records on which Commissioners make their own notations. Office files may also contain copies of records maintained by the Office of the Secretary of the Commission.

Permanent. Retire to WNRC through OCIO at end of Commissioners' term. Transfer to NARA when 12 years old.

N1-431-97-1
Item 1.

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 7. RECORDS OF THE OFFICE OF COMMISSION APPELLATE ADJUDICATION

The Office of Commission Appellate Adjudication is responsible for monitoring cases pending before presiding officers; providing the Commission with analyses of any adjudicatory matter requiring a Commission decision (e.g., petitions for review of initial licensing board decisions, certified questions, Interlocutory referrals, stay requests) including available options; drafting any necessary decisions pursuant to the Commission's guidance after presentation of options; and consulting with the Office of the General Counsel in identifying options to be presented to the Commission and in drafting the final decision to be presented to the Commission.

Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules are identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 8. RECORDS OF THE OFFICE OF CONGRESSIONAL AFFAIRS

The Office of Congressional Affairs (OCA) provides advice and assistance to the Chairman, Commission, and NRC staff on all NRC relations with Congress and views of Congress toward NRC policies, plans, and activities; maintains liaison with Congressional committees and members of Congress on matters of interest to NRC; serves as primary contact point for all NRC communications with Congress, reviewing and concurring in all outgoing correspondence to members of Congress; coordinates NRC internal activities with Congress; participates in planning and developing NRC's legislative program; and monitors legislative proposals, bills, and hearings.

The following record schedules were developed for records unique to OCA. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 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>Congressional Correspondence Files</u> Correspondence with individual congressmen, chairmen of congressional committees, and their staff relating to the activities and programs of the agency.	Cut off file every 2 years. Transfer to WNRC 2 years after file break. Destroy when 10 years old.	NC1-431-81-5 Item 2.5.14
2.	<u>Congressional Correspondence System</u> This system maintains a comprehensive index and a brief description of information sent to Congress in letters, and questions and answers. The information is retrievable by subject category, date, recipient, congressional committee, or author.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 13.F.5

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>
3.	<u>Legislative Files</u> Copies of proposed House and Senate bills relating to NRC operation and related correspondence.	Destroy when legislation is passed or when no longer needed.	NC1-431-81-5 Item 2.5.16
4.	<u>Senate and House Members Profile Files</u> Files containing biographical information on members of the U.S. Congress.	Destroy when 5 years old or sooner if purpose has been served.	NC1-431-81-5 Item 2.5.15

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 9. RECORDS OF THE OFFICE OF CONSOLIDATION

The Office of Consolidation was created in 1987 to develop overall housing plans, space, design and workstation standards for the two-building complex; develop and justify budget estimates for consolidation costs; implement plans and concepts approved by the Chairman, the Executive Director, and the Deputy Executive Director for Nuclear Materials Safety, Safeguards and Operations Support (DEDS); coordinate NRC interaction with the General Services Administration (GSA), its contractors, and consultants; review and approve planning documents developed by GSA, the design architect, interior space planners, construction contractor, and its subcontractors and vendors; coordinate and direct activities of NRC consultants and contractors; coordinate NRC interaction with local government authorities; assure that critical milestones were identified and scheduled activities accomplished as planned; coordinate move planning and implementation related to consolidation; provide overall coordination for the procurement of goods and services required for consolidation; and provide regular briefings to the Executive Director, the DEDS, Office Directors, and employees on the progress of consolidation.

The office was abolished effective July 15, 1994, and its duties and functions were transferred to the Office of Administration.

No schedules were developed for material unique to this office. Reference NRC Schedule 1, "Records Common To Most Offices," and the General Records Schedules 1 through 23 for applicable schedules.

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 10. RECORDS OF THE OFFICE OF THE CHIEF FINANCIAL OFFICER

The Office of the Chief Financial Officer (CFO) oversees all financial management activities relating to NRC's programs and operations and provides advice to the Chairman on financial management matters. In accordance with the Chief Financial Officers Act of 1990, as amended, the CFO develops and maintains an integrated agency accounting and financial management system, including financial reporting and internal controls; directs, manages, and provides policy guidance and oversight of agency financial management personnel, activities, and operations; prepares and transmits an annual report to the Chairman and the Director, Office of Management and Budget; monitors the financial execution of NRC's budget in relation to actual expenditures, and prepares and submits to the Chairman timely cost and performance reports; and reviews, on a periodic basis, fees and other charges imposed by NRC for services provided and makes recommendations for revising those charges as appropriate. The CFO also establishes financial management policy for the agency and provides policy guidance to senior managers on the budget and all other financial management activities; and provides an agency-wide management control program for financial and program managers that establishes internal control processes and provides for timely corrective actions regarding material weaknesses that are disclosed to comply with the Federal Manager's Financial Integrity Act of 1982.

The following record schedule was developed for records unique to the CFO. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 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>Accounting System (CAB)</u> This system maintains data and information regarding NRC's financial transactions such as: collections and disbursements, unexpended allotments, obligations, payments, costs, appropriation, and cash accounting balance. Produces reports such as: debits and credits, monthly transactions, trial balance, and license fee invoices.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 13.H.4

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

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ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>CITATION</u>
2.	<u>Budget Files</u>		
	a. Correspondence or subject files in the Office of the Chief Financial Officer documenting Commission policy and procedures governing budget administration, and selecting policy decisions affecting expenditures for agency programs.	<u>Permanent.</u> Offer to NARA when 10 years old.	NC1-431-81-5 Item 1.5.29
	b. Copies of budget estimates and justifications prepared and maintained by the Division of Budget and Analysis. Included are appropriation language sheets, narrative statements, and related schedules and data.	<u>Permanent.</u> Offer to NARA when 10 years old.	
	c. Working papers and background materials maintained at all organizational levels.	Destroy 1 year after the close of the fiscal year covered by the budget.	
3.	<u>License Fee Branch Reporting System (FEES)</u>		
	The system maintains data and information on inspections conducted for safety/safeguards, materials, test, research or commercial reactors, and fuel facilities and is used to establish a basis for determining license fees.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 13.C.2

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA APPROVED <u>CITATION</u>
4.	<u>Integrated Financial Management Information System (IFMIS)</u> The system maintains data and information integrating accounting functions such as: general ledger, funds control, travel, accounts receivable, accounts payable, plant and capital equipment, and appropriation and funds.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 13.H.1
5.	<u>Payroll System (PAY)</u> Time and attendance cards are processed to determine leave status and deductions such as: health and life insurance, credit union, Federal and State taxes, bonds, pension, dependencies (per W-4 form), and CFC contributions. The system prepares a check tape, prints bonds, and time and attendance slips.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 13.H.3

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 11. RECORDS OF THE OFFICE OF ENFORCEMENT

The Office of Enforcement develops policies and programs for enforcement of NRC requirements, manages major enforcement actions, and assesses effectiveness and uniformity of Regional enforcement actions.

No schedules have been developed for material unique to this office. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 12. RECORDS OF THE OFFICE OF THE EXECUTIVE DIRECTOR FOR OPERATIONS

The operational activities of NRC carried out by several program and staff offices, are supervised and coordinated by the Executive Director for Operations (EDO). The EDO is also responsible for implementation of Commission policy directives pertaining to all program and staff offices reporting to the EDO.

The following record schedule was developed for records unique to the EDO. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 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>Work Item Tracking System (WITS-II)</u> The system provides a common data base for Commission action items which can be shared by all NRC offices.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 12.F.3

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 13. 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 23 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.		
a.	Record set consisting of one copy of each memorandum.	<u>Permanent</u> . Transfer to WNRC when 10 years old. Offer to NARA when 20 years old.	NC1-431-81-5 Item 2.4.12
b.	Other copies.	Destroy when no longer needed.	

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA APPROVED CITATION
2.	<u>Legislative Files</u> Case files of legislation proposed by NRC consisting of proposals, staff comments, internal memos, correspondence with the Office of Management and Budget (OMB), testimony, and draft bills. Arranged numerically by bill number or by subject if more than one bill is involved.	<u>Permanent.</u> Transfer to WNRC when 10 years old. Offer to NARA when 20 years old.	NC1-431-81-5 Item 2.4.13
3.	<u>Licensing Docket Formal Hearing Files</u> Case files maintained by the Office of the General Counsel on hearings before the Commission, Boards and Panels relating to antitrust actions, and applications for construction permits and operating licenses for individual nuclear facilities. Files consist of correspondence, briefs, pleadings, hearing transcripts, and related records on cases and are used by OGC staff in arguing cases.		NC1-431-81-5 Item 1.3.19
	a. Paper records.	Destroy after verification that microfiche copies are adequate substitutes for original records.	

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	b. Silver master and one diazo copy of microfiche.	Offer to NARA. If not accepted by the National Archives, maintain until no longer needed by agency.	
	c. Reference copies of microfiche. needed.	Destroy when no longer	
4.	<u>Litigation Case Files</u>		
	Correspondence and copies of all papers filed in actions brought by or against the NRC. Arranged alphabetically by the name of the party involved in the suit.	<u>Permanent.</u> Transfer closed files to WNRC 7 years after cases are closed. Offer to NARA 20 years after cases are closed.	NC1-431-81-5 Item 2.4.11
5.	<u>Patent and Technical Data Files</u>		
	a. Invention docket containing copy of invention disclosure and pertinent correspondence.	Destroy 10 years after file is closed.	NC1-431-81-5 Item 4.2.3
	b. Case files of U.S. patent applications containing record of invention disclosure, record of invention, draft of patent application with inventor's notes, copy of patent application as filed in Patent Office, pertinent correspondence, amendments, reports, and references as follows.		

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(1)	Abandoned patent applications.	Destroy 10 years after application is abandoned.	
(2)	Issued patents.	Destroy 25 years after patent is issued.	
c.	Files on contracts, subcontracts, and purchase orders containing miscellaneous correspondence and related papers pertaining to negotiation of contract patent provisions, inventions, or discoveries conceived under contract, reports and papers reviewed for patent clearance, and patent clearance of terminated contracts.	Destroy 10 years after patent clearance.	
d.	License agreement and assignment files containing license agreements and assignments in U.S. patents and pertinent correspondence regarding execution of license agreements and royalty payments.	Destroy 25 years after issuance of patent.	
e.	Patent Agreement Forms, "Agreement Covering Discoveries, Inventions, and Improvements," signed by all employees at time of employment.	Destroy when 56 years old.	NC1-431-81-5 Item 4.2.3

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| f. | Docket files containing findings determinations, and statements of reason, decisions, backup material, and correspondence with the Patent Compensation Board, U.S. Court of Appeals, and U.S. Court of Claims. | Destroy when 25 years old. |
| g. | Infringement files containing copies of patents which have been or possibly might be infringed; pertinent correspondence regarding use of patented process, device, or material; copies of purchase orders and other backup material; and Court of Claims petitions and actions. | Destroy when 30 years old. |
| h. | Case files containing correspondence with contractors regarding U.S. patent applications referred for review under sections 151 and 152 of the Atomic Energy Act. | |
| | (1) 151 "C" Reports and Applications. | Destroy 25 years after date of last action. |
| | (2) 152 Applications. | Destroy 10 years after patent expires. |
| i. | Ledgers and log record showing invention disclosures reported date, disposition, and U.S. office actions. | Destroy 10 years after last entry. |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 14. RECORDS OF THE OFFICE OF THE CHIEF INFORMATION OFFICER

The Office of the Chief Information Officer (CIO) plans, directs, and oversees the NRC's information resources, including information technology infrastructure and delivery of information management services, to meet the mission and goals of the agency. Provides principal advice to the Chairman to ensure that information technology (IT) is acquired and information resources across the agency are managed in a manner consistent with Federal information resources management (IRM) laws and regulations. Assists senior management in recognizing where information technology can add value while improving NRC operations and services deliver. Directs the implementation of a sound and integrated IT architecture to achieve NRC's strategic and IRM goals. Monitors and evaluates the performance of information technology and information management programs based on applicable performance measures and assesses the adequacy of IRM skills of the agency. Provides guidance and oversight for the selection, control, and evaluation of information technology investments.

The following record schedules were developed for records unique to the CIO. Reference NRC Schedule 1, "Records Common to Most Offices," and the General Records Schedules 1 through 23 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>Automated Information Documentation System (AIDS)</u> This system utilizes data sets which are created and maintained via WYLBUR to produce various print-outs needed to document the programs data files, and data elements comprising a given system.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 13.F.4
2.	<u>Forms Files</u>		
a.	One record copy of each NRC form created that is maintained by the Information and Records Management Branch (IRMB) with related instructions.	<u>Permanent</u> . Offer to NARA when 10 years old.	NC1-431-81-5 Item 1.5.32

NRC SCHEDULE 2

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b. Working papers, background materials, requisitions, specifications, processing data, and control records maintained at all organizational levels.

Destroy when related form is discontinued, superseded, or cancelled.

3. Graphic Arts Files

a. Original artwork line and half-tone negatives, and other camera-ready copy prepared for brochures, posters, and other NRC publications by the Printing Graphics and Distribution Branch.

Destroy when no longer needed for publication or reprinting.

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b. Record set of posters distributed agency-wide or to the public and maintained by the Printing Graphics and Distribution Branch. Arranged chronologically.

Permanent. Offer to NARA when 10 years old.

c. Vu-graphs maintained in any NRC office.

Destroy when no longer needed.

4. Information Requirements Control Automated System (IRCAS)

The system, as an information locator, is used to plan and control NRC information collection requirements. Information is controlled at the subject or title level which includes cost, number of respondents, originator, prescribing authority, staff-hours, and whatever other

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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	administrative information is required.		
5.	<u>Regulatory Information Tracking Systems - CIO (IRM-RITS)</u>		
	IRM-RITS is an integration of two computer systems (Technical Assignment Control System [TACS] and Manpower System [MPS]) which are updated weekly. Data within the system are retained by staff member, licensee, and technical assignments. The system retains current and historical data on project schedules and staff resources.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 12.F.H
6.	<u>Manpower System (MPS)</u>		
	The system maintains a data base of staff-hours charged against projects and programs, providing management with data for manpower analysis, reallocation, planning, budget validation, and license-fee purposes.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 13.F.1
7.	<u>Project Management System (PMS)</u>		
	The system will maintain data and information to monitor and interrelate End-User Support Services Branch efforts on contracts, purchase orders, projects, tasks or subtasks, work orders, and invoices.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 12.J.1

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8. Publications

NUREGS, Pamphlets, reports, leaflets, regulations, manuals or the last manuscript copy if not published, relating to NRC matters.

a. Record copy maintained in the Information and Records Management Branch.

(1) Publication in paper form only.

Permanent. Offer to NARA when 10 years old.

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Item 1.5.36

(2) Publication in microform - silver master and one diazo copy.

Permanent. Offer to NARA when 2 years old. Destroy paper records when it has been determined that microform copies are adequate substitutes for original records.

b. Work papers and background materials.

Destroy 6 months after publication.

c. Other copies.

Destroy when no longer needed.

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9.	<p><u>Records Retirement Lists</u></p> <p>Copies of documents located in the IRMB created to retire files to Federal Archives and Records Centers or similar records storage areas. Included are NRC Form 35, Standard Form 135, or similar lists, and related papers.</p>	<p>Retain in active files until all records listed thereon have been destroyed, maintain list in headquarters for permanent reference.</p>	<p>NC1-431-81-5 Item 1.1.1</p>
10.	<p><u>Statistical Information System For Operating Reactors (SISOR)</u></p> <p>The system maintains records of monthly operating data for each nuclear power plant in commercial operation.</p>	<p>Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.</p>	<p>NC1-431-81-2 Item 11.E.1</p>
11.	<p><u>Technical Assignment Control System (TACS)</u></p> <p>A computer data base containing items of information identifying, describing, documenting, and accounting for the recording and status reporting of all non-case related work in an office. TACS is a tool which allows for the systematic control of the total office work effort. (Both case and non-case work).</p>	<p>Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.</p>	<p>NC1-431-81-2 Item 12.F.1</p>

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12.	<u>Telephone Directory System (TEL)</u>	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 13.I.3
13.	<u>Timesharing Accounts Management System (TAMS)</u>	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 13.F.3
14.	<u>Bibliographic Retrieval System (BRS)</u>	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 13.J.2
15.	<u>Duplicate NPP Docket Files of The PDR</u>	Destroy when 5 years old or sooner if purpose has been served.	NC1-431-81-5 Item 1.3.20.d

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 15. RECORDS OF THE OFFICE OF THE INSPECTOR GENERAL

The Office of the Inspector General (OIG) conducts investigations and inspections to ascertain and verify the integrity of all NRC operations; investigates allegations of NRC employee misconduct, equal employment opportunity, and civil rights complaints; develops policies and standards governing the Commission's financial and management audit program, and administers Commission's day-to-day audit activities; serves as point of contact with the General Accounting Office (GAO) on matters affecting NRC's financial and management audit function; makes such reports to the Commission as necessary to keep the Commission fully informed on its financial management responsibilities, and on the results of investigations and inspections; hears individual employee concerns regarding NRC operations and activities; refers criminal matters to the Department of Justice (DOJ) and maintains liaison with DOJ and other law enforcement agencies.

Reference General Records Schedule (GRS) 22, "Inspector General Records," for schedules specific to the OIG. Also, reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

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RECORDS OF NRC OFFICES

PART 16. RECORDS OF THE OFFICE OF INTERNATIONAL PROGRAMS

The Office of International Programs (OIP) formulates and recommends policies concerning nuclear exports and imports, international safeguards, international physical security, nonproliferation matters, and international cooperation and assistance in nuclear safety and radiation protection. Plans, develops, and implements programs to carry out policies established in these areas. Plans, develops, and manages international nuclear safety information exchange programs and coordinates international research agreements. Obtains, evaluates, and uses pertinent information from other NRC and U.S. Government offices in processing nuclear export and import license applications.

OIP also establishes and maintains working relationships with individual countries and international nuclear organizations, as well as other involved U.S. Government agencies. Assures that all international activities carried out by the Commission and staff are well coordinated internally and Government-wide and are consistent with NRC and U.S. policies.

The following record schedules were developed for records unique to OIP. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 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>Country Files, Export/Import and International Safeguards Records</u> Files on individual foreign countries, including correspondence and other documents pertaining to international safeguards in handling nuclear materials, components and facilities, analyses of physical security, and agreements for cooperation. Filed alphabetically by name of country.	<u>Permanent.</u> Offer to NARA when 20 years old.	NC1-431-81-5 Item 4.5.13

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2.	<p><u>Country Files, International Arrangements</u></p> <p>Case files containing correspondence, studies, analyses, and copies of formal bi-lateral arrangements and documents pertaining to NRC formal arrangements. Program to exchange nuclear regulatory and safety information and to cooperate on the development of regulatory and safety standards. Also included are copies of research agreements and related correspondence.</p>	<p><u>Permanent.</u> Offer to NARA 10 years after file becomes inactive.</p>	<p>NC1-431-81-5 Item 4.5.14</p>
3.	<p><u>Export/Import License Docket File</u></p> <p>Case files and related control logs pertaining to the licensing of companies and individuals pursuant to 10 CFR Part 110 to export or import nuclear material, equipment, nuclear components, and facilities. Included are license applications, a copy of the license, and all other documentation pertaining to the licensing process arranged numerically by license number.</p>		<p>NC1-431-81-5 Item 1.3.21</p>

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	a. Official files maintained in the Office of International Programs.	<u>Permanent.</u> Retire to WNRC when 10 years old. Offer to NARA 10 years after license has expired.	
	b. Other copies throughout NRC.	Destroy when no longer needed.	
4.	<u>Files of Department of State Cables and Atomic International Forum Wires (AIF)</u>		
	Copies of State Department cables and AIF wires relating to nuclear regulations and safeguards sent to NRC for information.	Destroy when 1 year old. Cut off files annually.	NC1-431-81-5 Item 4.5.18
5.	<u>Foreign Visitor Files</u>		
	Correspondence, memoranda, reports, program curricula, biographical data pertaining to the visit to NRC of foreign nationals for the purpose of exchanging information on nuclear safety and safeguards.		NC1-431-81-5 Item 4.5.16
	a. Files on incidental visitors.	Destroy when 5 years old. Cut off files annually.	
	b. Files on visitors who have long term (3 to 6 months or longer) assignments working with NRC.	Destroy 10 years after termination of assignment.	

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6.	<u>Formal Arrangement and Agreement Files</u>	<u>Permanent.</u> Cut off file when arrangement expires. Offer to NARA 10 years after expiration of arrangement.	NC1-431-81-5 Item 4.5.15
7.	<u>International Organization Files</u>	<u>Permanent.</u> Cut off file when NRC involvement with organization terminates. Offer to NARA 10 years later or sooner if purpose has been served.	NC1-431-81-5 Item 4.5.17
8.	<u>International Programs Export/Import License Tracking System (IPELTS)</u>	Retain until it has been determined by a competent NRC Official that data are no longer needed, erase and reuse tape, etc.	NC1-431-81-2 Item 12.G.1

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 17. RECORDS OF THE OFFICE OF INVESTIGATIONS

The Office of Investigations (OI) conducts investigations of licensees, applicants, their contractors or vendors and all allegations of wrongdoing by individuals other than NRC employees and NRC contractors; supervision and quality control of all investigative functions; develops policy, procedures and quality control standards for the conduct of OI investigations; ensures that all OI investigators are properly trained; keeps abreast of inquiries and of NRC licensee, applicant, contractor, or vendor operations and advises the Commission, the Executive Director of Operations, and Administrators on the need of formal investigations; keeps the Agency informed of matters under investigation as they affect safety matters; and advises and assists the Office of the Inspector General in appropriate referrals to the Department of Justice.

The following record schedules were developed for records unique to the OI. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 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>Allegation and Inquiry Files</u> Official case files located at NRC Headquarters documenting allegations of possible wrongdoing by licensees, applicants, contractors or vendors. Contains statements, interviews, summary reports, reports of inquiry, recommendations, and other related material.	Hold closed allegation case files in office 2 years then retire to WNRC. Destroy 10 years after cases are closed.	NC1-431-83-6 Item 1
2.	<u>Investigation Case Files</u> Case files documenting investigations of licensees, applicants, contractors, or vendors and any wrongdoing by individuals other than NRC employees and NRC contractors. Files		

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include statements, interviews, support information relating to the investigation, interim reports, and the report of investigation.

a. Official case files located at Headquarters selected by NRC because they meet one or more of the following criteria:

- (1) Received wide attention from the news media;
- (2) Was of significant interest to Congress, the White House, or NRC commissioners;
- (3) Was involved in extensive litigation;
- (4) Was involved in a major policy discussion and/or change in the Office of Investigations or in the Nuclear Regulatory Commission as a whole; and
- (5) Prompted significant changes in designs or procedures by or relating to the nuclear industry.

Permanent. Hold in office for two years after closing. NRC will select cases for archival retention before retiring records to WNRC, using criteria listed above. The cases selected between 1984 and 1992 will be offered to NARA in 2002 and subsequent 10 year blocks will be offered at 10 year intervals thereafter.

NC1-431-83-6
Item 2

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b.	Other official case files at NRC Headquarters.	Hold in office 2 years after closing then retire to WNRC. Destroy 10 years after cases are closed.	
c.	Regional office or investigators copy.	Destroy 2 years after the cases are closed.	
3.	<u>Investigation Procedure Memoranda (IPM)</u>		
	OI official record set of formal issuances maintained at NRC Headquarters.	<u>Permanent.</u> Offer a complete set to NARA in 2002 and at ten year intervals thereafter.	NC1-431-83-6 Item 3

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RECORDS OF NRC OFFICES

PART 18. RECORDS OF THE OFFICE OF THE LICENSING SUPPORT SYSTEM ADMINISTRATOR

The Office of the Licensing Support System Administrator (OLSSA) ensured that the Agency Licensing Support System (LSS) met 10 CFR Part 2 requirements related to the use of the LSS in the Commission's high-level waste licensing proceedings; advised DOE on the design, development, and testing of the LSS; provided for the operation and maintenance of the LSS including the entry of documentary material and access to the system by participants and the public; maintained the integrity and security of the LSS database; and reviewed participant compliance with applicable rules including DOE compliance with document submission requirements in 10 CFR 2.1003.

As a result of a realignment of functions within the agency, the OLSSA was incorporated into the Office of Information Resources Management effective November 1992.

No schedules were developed for material unique to this office. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for applicable schedules.

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 19. RECORDS OF THE OFFICE OF NUCLEAR MATERIAL SAFETY AND SAFEGUARDS (NMSS)

The records described in this schedule document NRC responsibility for ensuring public health and safety, protection of the national security, and protection of environmental values in the licensing and regulation of all facilities and materials licensed under the Atomic Energy Act of 1954, as amended, associated with the processing, transport, and handling of nuclear materials, including the review and assessment of their safeguards against potential threats, thefts, and sabotage.

The following record schedules were developed for records unique to NMSS. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 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>Certificate of Compliance Files</u> Original of NRC Certificates of Compliance documenting approval of licensee transportation of radioactive materials package design under 10 CFR Part 71. These certificates are published by NRC and a copy of all certificates are filed in applicable docket file.	Retain current certificates in notebook. Destroy when certificates are revised.	NC1-431-81-5 Item 4.6.20
2.	<u>Docket Files for the Disposal of High-Level Radioactive Wastes in Geologic Repositories</u> Case files documenting the licensing of the U.S. Department of Energy to receive and possess source, special nuclear, and by-product material at a Geologic Repository Operations Area pursuant to 10 CFR Part 60.		NC1-431-83-2 Item 1

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Included are license application, site characterization, environmental report, license, amendments, and all other related documentation.

a. Official case files located in the Office of Nuclear Material Safety & Safeguards.

Permanent. Retire to WNRC 10 years after expiration or termination of license. Offer to NARA in 5-year blocks after license expiration or termination.

b. All other copies.

Destroy 1 year after termination or expiration of license or sooner if no longer needed for reference.

3. Docket Files for the Land Disposal of Radioactive Wastes

Case files documenting the licensing of persons, companies, institutions, and facilities to receive, possess, and dispose of low-level radioactive wastes containing byproduct, source, and special nuclear material at a land disposal facility. Records include application, environmental report, license and license amendments, and all other related documentation.

NC1-431-83-3
Item 1

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a.	Official case files located in the Office of Information Resources Management for the Office of Nuclear Material Safety & Safeguards.	<u>Permanent.</u> Retire to WNRC 10 years after expiration or termination of license. Offer to NARA in 5-year blocks after license expiration or termination.
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b.	All other copies.	Destroy 1 year after termination or expiration of license or sooner if no longer needed for reference.
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4. Fuel Facilities, Transportation, Byproduct, Source, and Special Nuclear Material Docket Files

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 licensing documentation. Decommissioning records for these licenses are permanent and require maintenance as a subset of each case file as specified in SECY 90-316. Reference Item c. below for authorized disposition. Excluded are case files (under 10 CFR Part 40) with license prefix of "SUA" which are covered by the High-Level, Low-Level, and Uranium Recovery Docket File schedule

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(NRCS 2-19.18). Post 1983 Regional case files include the Inspection and Enforcement Case File documentation described in the Inspection and Enforcement Case File schedule (N1-431-92-1, Items 1.b., c, and d.), and are retained as one case file under this schedule. For the purposes of applying the authorized disposition instructions, a withdrawn or denied license application is considered terminated on the date of withdrawal or denial.

a. The Office of Nuclear Material Safety and Safeguard's (NMSS) terminated official licensing case files consisting of NRC Archival Facility job numbers 1700, 1708-1710, and 1722, (originally 379-383), that were reviewed by the Oak Ridge National Laboratory during 1977 through 1980 to ensure properly documented license terminations.

Permanent. Transfer to NARA at end of FY 1996.

N1-431-92-3
Item 1.a

b. Case Files covering licensee or which licensing jurisdiction is transferred to the State under agreement covering transfer of function.

Transfer to Agreement states.

NC1-431-81-5
Item 1.3.22.b

c. All copies in NMSS and Regional Offices.

Destroy when 1 year old or earlier if purpose has been served.

NC1-431-81-5
Item 1.3.22.c

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d.	<p>Official case files of the NMSS and the Regional offices including the decommissioning segment, except for those described in item a. above, determined by the NRC to have exceptional value because of the historical significance of their contents or their uniqueness. Included are files that:</p> <ul style="list-style-type: none"> <li data-bbox="321 884 711 1031">(1) result in judicial decisions or legislation that affect the functions and activities of NRC, <li data-bbox="321 1073 683 1220">(2) result in significant changes in regulatory activities and procedures, or <li data-bbox="321 1262 727 1409">(3) were the subject of Congressional investigation or were of great public interest. 	<p><u>Permanent.</u> Cut off upon license termination, following completion of decommissioning procedure. Retire to WNRC through IRM at end of fiscal year. Transfer to NARA 20 years after termination of license.</p>	<p>N1-431-92-3 Item 1.b</p>
e.	<p>Decommissioning records segment of disposable licensing case files located at the File Center and Regional offices, consisting of the following types of documents:</p> <ul style="list-style-type: none"> <li data-bbox="321 1759 732 1864">(1) All license applications, amendment requests, and renewal requests. 	<p><u>Permanent.</u> Cut off upon license termination following completion of decommissioning procedure. Retire to WNRC through IRM at end of fiscal year.</p>	<p>N1-431-92-3 Item 1.c</p>

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- (2) Complete license, including all amendments.
- (3) Termination amendment.
- (4) Licensee request for license termination and all supporting documentation including plans for completion of decommissioning.
- (5) Forms dealing with disposition of material (NRC/AEC form 314, AEC Form HQ-277, and other forms) and/or letters from licensees dealing with disposition and status of material.
- (6) Reports of NRC closeout inspections.
- (7) Letter of certification from NRC official stating that license can be terminated.
- (8) Any closeout survey by NRC, the licensee, or a contractor working for either NRC or the licensee.

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- (9) Any additional documents dealing with disposition of waste or other material or residual contamination on the site, including records of on-site burials.
- (10) All documents related to financial assurance for decommissioning, including decommissioning finding plans, certifications of financial assurance for decommissioning, related cost estimates, and records of funding methods.
- (11) Records of spills and other unusual occurrences involving the spread of contamination in and around the facility, equipment, or site.
- (12) As-built drawings and modifications of structures and equipment in restricted areas where radioactive materials were used or stored and locations of possible inaccessible contamination.

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	<p>(13) Any additional documents which refer to decommissioning, decontamination, or termination of the license, including interim or partial decommissioning or specific facilities at any time during the history of licensed operations.</p>		
	<p>(14) Any enforcement documents related to decommissioning and decontamination activities.</p>		
<p>f.</p>	<p>Other case files, excluding the decommissioning segment, that do not meet the criteria for permanent retention.</p>	<p>Cut off upon license termination, following completion of decommissioning procedure. Retire to WNRC through IRM at end of fiscal year. Destroy 20 years after termination of license.</p>	<p>N1-431-92-3 Item 1.d</p>
<p>5.</p>	<p><u>Independent Spent Fuel Storage Installation Docket Files (ISFSI)</u></p>		
	<p>Case files documenting the licensing to possess power reactor spent fuel and other radioactive materials associated with spent fuel storage, in an Independent Spent Fuel Storage Installation (ISFSI) as defined</p>		<p>N1-431-89-4 Item 1</p>

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in 10 CFR Part 72. Each license issued is for a period of 20 years. Records consist of all required licensing documents including license application, license, and amendments; all required periodic reports; and all other related documentation.

a. Official ISFSI Docket files corresponding to Nuclear Power Plant Docket files selected for permanent retention schedule 2-20.9.a.

Permanent. Cut off files upon termination of license. Retire files to IRMB 1 year after cut off. Transfer to the National Archives 20 years after termination of license.

b. Official ISFSI Docket files not selected for permanent retention.

Cut off files upon termination of license. Retire files to IRMB 1 year after cut off. Destroy 20 years after termination of license.

c. All other copies in NMSS, NRR, and regional offices.

Destroy 1 year after license terminates or earlier if no longer needed for reference purposes.

6. International Safeguards Program Office (ISPO)

ISPO files copies of reports developed by U.S. contractors under the Program for Technical Assistance to the International

Permanent. Offer to NARA when 20 years old.

NC1-431-81-5
Item 4.6.24

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Atomic Energy Agency (IAEA) Safeguards (POTAS). The ISPO is a part of the Brookhaven National Laboratory and is responsible for coordinating the comments and development process or the POTAS reports. Also included in the files are correspondence between ISPO and NRC, DOE, and DOJ and NRC response to ISPO requests for comments on draft reports and copies of final reports.

7. Licensee Mismanagement Files

Licensee reports and other records relating to incidents of the mismanagement of radiation administered to individuals by licensees (primarily doctors

or other medical facilities) containing name of individuals and other data pertaining to the mismanagement.

Files to be maintained by licensee or State office of radiological safety for 75 years from date of report. If records are

deposited with NRC, destroy 75 years from date of report.

NC1-431-81-5
Item 1.4.26

8. NMSS Case Work System (CASE)

System provides management with a means to identify and track the status of all case work items relative to licensing nuclear fuel facilities and materials.

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

NC1-431-81-2
Item 12.B.4

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9. Nuclear Material Management and Safeguards System (NMMSS)

The NMMSS is a national nuclear material accounting system. It provides information needed to track and regulate production, transfer, possession, use, import, and export of nuclear materials. The system maintains information on the location and quantities of special nuclear materials, in possession of DOE and NRC licensees. The system is operated by Union Carbide Corp. at the Gaseous Diffusion Plant in Oak Ridge, Tenn.

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

NC1-431-81-2
Item 11.B.2

10. Process Operator License Files

Case files documenting the licensing of process operators in reprocessing plants including new and/or renewal applications, medical certificates, licenses and amendments, examinations and results, and related correspondence, including denial information.

NC1-431-81-5
Item 4.6.19

a. Latest applications and related correspondence, license, examinations, and results; all medical certificates and data; and all examiners reports.

Destroy 4 years after expiration or termination of license or issuance of denial letter.

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	b. Superseded applications and related correspondence, licenses, examinations, and results; denial letters.	Destroy when 2 years old or when superseded, whichever is later.	
11.	<u>Quality Assurance Files</u> Originals of NRC 311 or its equivalent documenting NRC determination that licensee meets requirements of Sec. 71.51 of 10 CFR Part 71 (Quality Assurance Program on Radioactive Material Packages). Record copy is in Docket File.	Destroy 5 years after termination of license.	NC1-431-81-5 Item 4.6.21
12.	<u>Regulatory Information Tracking System - NMSS (NMSS-RITS)</u> NMSS-RITS is an integration of three computer systems (Technical Assignment Control System [TACS], Manpower System [MPS], and Program Operating Plan System [POPS]) which are updated weekly. Data within the system are retained by staff member, licensee, and technical assignments. The system retains current and historical data on project schedules and staff resources.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 12.B.3

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13.	<p><u>Safety Evaluation Reports</u></p> <p>NRC narrative reports and revisions describing actions taken by applicants and NRC, and individual aspects of radioactive material package design under the requirements of 10 CFR Part 71.</p>	<p>Destroy in accordance with the authorized disposition for schedule 2-19.4.a. and b.</p>	<p>NC1-431-81-5 Item 4.6.22</p>
14.	<p><u>Sealed Source and Device Review Files</u></p> <p>Case files which document NRC review and approval of the design of sealed sources and/or devices containing licensed radioactive materials. A certificate or registration for sealed sources and/or devices is issued when the design is considered acceptable for licensing. Included are copies of applications, Certificates of Registration, safety analysis summaries, and related correspondence.</p>	<p>Destroy in accordance with authorized disposition for schedule 2-19.4.a and b.</p>	<p>NC1-431-81-5 Item 4.6.23</p>
15.	<p><u>Source and Special (SS) Material Accountability System Files</u></p> <p>a. <u>SS Material Shipping Form Files</u> consisting of DOE/NRC Forms DP-741 or equivalent, used in the transfer of source and special nuclear materials, or other special nuclear materials, or other material controlled by the</p>	<p>Destroy when 3 fiscal years old.</p>	<p>NC1-431-81-5 Item 4.6.25.c</p>

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SS Materials Accountability
System at Oak Ridge National
Laboratory.

16. Transport Approval Package
Information System (TAPIS)

The system maintains data and
information regarding all pack-
ages approved by NRC for use in
the transportation of radioac-
tive material. Included are
description of package, approval
particulars, and all licensed
users.

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

NC1-431-81-2
Item 11.B.1

17. Uranium Mill Tailings Remedial
Action Program (UMTRAP) Project
Licensing Case Files

Project files documenting the
concurrence and licensing
activities for UMTRAP, pursuant
to the Uranium Mill Tailings
Radiation Control Act of 1978.

a. Official project files
located in the NRC File
Center.

Permanent. Cut off files in
1995 and retire in 5 year
blocks thereafter. Retire to
WNRC 1 year after cutoff.
Case files are to remain in
NRC custody until licenses
are terminated, expired, or
75 years old, whichever is
earlier. Review and offer
terminated or expired
licenses and material more
than 75 years old to NARA

NC1-431-89-1
Item 1

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA APPROVED <u>CITATION</u>
		at 20 year intervals beginning year 2020.	
		(Note: Transfer textual finding aid to NARA at the time of transfer of official files corresponding to finding aid).	
	b. All other copies.	Destroy one year after termination or expiration of license or sooner if no longer needed for reference.	Nonrecord
18.	<u>High-Level, Low-Level, and Uranium Recovery Docket Files</u>		
	Case Files documenting the NC1-431-81-5 licensing of high-level, or low- Item 1.3.23 level and uranium recovery oper- ations 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 appli- cations, licenses and amendments, and other related material. The files are arranged by docket number.	<u>Permanent.</u> Offer to NARA when 10 years old.	

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>
19.	<u>NMSS Contract File Management System (FILNET)(operational) system B0011</u>		
a.	DOE Contracts more than \$25,000 (NMSS maintains the records) including the unscanned records in hard copy only that supplement the electronic records.	Destroy 6 years and 3 months after final payment.	GRS 3-3.a(1)
b.	Commercial Contracts (Division of Contracts, ADM, maintains the records.)	Destroy upon termination or completion.	Nonrecord

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 20. RECORDS OF THE OFFICE OF NUCLEAR REACTOR REGULATION (NRR)

The records described in this schedule document the NRC licensing functions associated with construction and operation of nuclear reactors and with receipt, possession, ownership, and use of special nuclear and byproduct material used at reactor facilities; the review of applications and issue of licenses for reactor facilities required to be licensed under the Atomic Energy Act of 1954, as amended and the evaluation of health, safety, and environmental aspects of facilities and the development of sites; regulations; the analysis of reactor design concepts; the evaluation of methods of transporting nuclear materials and radioactive wastes on reactor sites; and the monitoring and testing of operating reactors, recommending upgrading of facilities and modification of regulations, as appropriate.

The following record schedules were developed for records unique to NRR. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 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>Antitrust Case Files</u> Files consist of copies of licensee applications with antitrust information on applicant, correspondence with the Office of the General Counsel, and Department of Justice relating to findings on the applicant's financial background.	Destroy 20 years after license is approved.	NC1-431-81-5 Item 4.7.26

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA APPROVED CITATION
2.	<p><u>E-2 System (IRMS)</u></p> <p>The system produces manpower computational tables (E-2) and budget estimate tables (E-3A, E-3, and E-4). These tables reflect manpower requirements for inspections of facilities by type, phase of construction, or operation and age.</p>	<p>Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.</p>	<p>NC1-431-81-2 Item 13.C.4</p>
3.	<p><u>Emergency Planning Files</u></p>	<p><u>Permanent.</u> Offer to NARA when 20 years old.</p>	<p>NC1-431-81-1 Item 3.a</p>
a.	<p>Case files accumulated in NRR, consisting of a record copy of each plan or directive issued, with related background papers.</p>	<p><u>Permanent.</u> Offer to NARA when 20 years old.</p>	<p>NC1-431-81-1 Item 3.a</p>
b.	<p>Record set of NRC reports of operation tests accumulated in NRR, consisting of consolidated or comprehensive reports reflecting NRC-wide results of tests conducted under emergency plans.</p>	<p><u>Permanent.</u> Offer to NARA when 20 years old.</p>	<p>NC1-431-81-1 Item 3.b</p>
c.	<p>Copies of records pertaining to office participation in emergency planning exercises and tests maintained in the various offices throughout NRC.</p>	<p>Destroy when superseded of obsolete.</p>	<p>NC1-431-81-1 Item 3.c</p>

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

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4. Licensing Project Files

Applications for construction permits and/or licensing and related records on withdrawn or otherwise cancelled projects.

NC1-431-81-1
Item 1

a. Files under 10 CFR Part 50.

Destroy 20 years after withdrawal or cancellation.

b. Files under other applicable parts of 10 CFR.

Destroy 1 year after withdrawal or cancellation.

5. Morning Reports

Reports containing items of interest distributed at both headquarters and Regional offices, containing management information of interest to staff. Report is required by NRC Inspection Manual.

Destroy when 6 months old.

NC1-431-81-5
Item 4.4.11

6. Non-licensing Project Files

Reports and correspondence relating to specific DOE developmental projects involving use of nuclear materials.

Destroy 20 years after completion of project.

NC1-431-81-1
Item 2

7. NRC Inspection Manual

Record copy of the NRC Inspection Manual including all changes thereto.

Permanent. Offer to NARA at periodic intervals when superseded or obsolete.

NC1-431-81-5
Item 4.4.8

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA APPROVED CITATION
8.	<u>NRC Issuance Files</u>		
	a. NRC official or record set of formal issuances prepared by NRR staff consisting of NRC Circulars, Bulletins, and Information Notices.	<u>Permanent.</u> Offer to NARA when 20 years old.	NC1-431-81-5 Item 4.4.5
	b. Regional office copies and other copies of issuances.	Destroy when no longer needed.	
9.	<u>Nuclear Power Plant Docket Files</u>		
	Records documenting licensing of the construction and operation of commercial nuclear reactors for power generation and non-power reactors 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 review, evaluation, and authorization stages of the licensing process. Each operating license issued is for a fixed time period specified in the license document but in no case exceeds 40 years. Licenses may be renewed by the NRC upon the expiration of the initially authorized operating period. Decommissioning records for these licenses are permanent and require maintenance as a subset of each case		

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA APPROVED CITATION
	file as specified in SECY 90-316. Reference item b. below for authorized disposition.		
a.	Official docket files of the Office of Nuclear Reactor Regulation, including the decommissioning segment, located at the NRC File Center, determined by the NRC to have exceptional value because of the historical significance of their contents or their uniqueness. Included are files that:	<u>Permanent.</u> Retain cur- rent fiscal year and last four years in NRC File Center. Retire, by facil- ity, to WNRC through IRM annually if the records consist of at least one cubic foot and are over five years old. Closing date is the termination date following completion of decommis- sioning procedure (which is the license date plus 40 years). Transfer to NARA 20 years after termination of license.	N1-431-92-2 Item 1.a
	(1) result in judicial decisions or legislation that affect the functions and activi- ties of NRC, e.g., Enrico Fermi No. 1 (Power Reactor Demonstration Co. Reactor),		
	(2) result in significant changes in regulatory activities and procedures, e.g., Brown's Ferry, or		
	(3) were the subject of Con- gressional investigation or were of great public interest e.g., TMI.		

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RECORDS OF NRC OFFICES

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ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA APPROVED CITATION
b.	Decommissioning records segment of disposal licensing case files located at NRC File Center consisting of the following types of records:	<p><u>Permanent.</u> Retain current fiscal year and last four years in NRC File Center. Retire, by facility, to WNRC through IRM annually if the records consist of at least one cubic foot and are over five years old. Closing date is the termination date following completion of decommissioning procedure (which is the license date plus 40 years). Transfer to NARA 20 years after termination of license.</p>	<p>N1-431-92-2 Item 1.b</p>
(1)	Application for Possession-Only license.		
(2)	Possession-Only license amendment and any associated technical specifications (TS).		
(3)	Decommissioning or Dismantling Plan and associated TS changes.		
(4)	Requests for additional information on applications for Possession-Only licenses, Decommissioning and Dismantling Plans, and responses from licensee.		
(5)	Federal Register Notices for applications for Possession-Only licenses and Decommissioning and Dismantling Plans.		
(6)	Decommissioning and Dismantling Orders.		
(7)	Final site surveys by licensee.		

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA APPROVED CITATION
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- (8) Final site surveys by regional inspectors.
- (9) All license amendments and associated TS changes following the initial application by the licensee for Possession-Only license.
- (10) All documents related to financial assurance for decommission, including decommissioning funding plans, certifications of financial assurance for decommissioning, related cost estimates, and records of funding methods.
- (11) Records of spills and other unusual occurrences involving the spread of contamination in and around the facility, equipment, or site.
- (12) License termination orders and associated safety evaluations.

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA APPROVED CITATION
(13)	As-built drawings and modifications of structures and equipment in restricted areas where radioactive materials were used or stored and locations of possible inaccessible contamination.		
(14)	Any additional documents which refer to decommissioning, decontamination, or termination of the license, including interim or partial decommissioning of specific facilities at any time during the history of licensed operations.		
(15)	Any enforcement documents related to decommissioning and decontamination activities.		
c.	Hearing and intervention correspondence and information; hearing transcripts of boards and panels; inspection reports and related correspondence; and any other documentation duplicated in the permanent file described in a. above and NRC Schedule 2, Part 25, Item 3 and NRC Schedule 2, Part 24, Item 7.b.	Destroy when 5 years old.	NC1-431-81-5 Item 1.3.20.c

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA APPROVED CITATION
d.	Duplicate docket files located in the PDR, and Regional offices except for documentation described in NRC Schedule 2, Part 24, Item 7.b.	Destroy when 5 years old or sooner if purpose has been served.	NC1-431-81-5 Item 1.3.20.d
e.	Other docket files of NRR, excluding the decommissioning segment, that do not meet the criteria for permanent retention.	Retain current fiscal year and last four years in NRC File Center. Retire, by facility, to WNRC through IRM annually if the records consist of at least one cubic foot and are over five years old. Closing date is the termination date following completion of decommissioning procedure (which is the license date plus 40 years). Destroy 20 years after termination of license.	N1-431-92-2 Item 1.c.
10.	<u>Preliminary Notification of Event or Unusual Occurrence (PNO), Preliminary Notification of Safeguards Event (PNS) Files</u>	Destroy when 4 years old.	NC1-431-81-5 Item 4.4.7
	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 or evaluation.		

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11. Regulatory Effectiveness Reviews (RER)

Case files documenting the evaluations of the overall effectiveness of regulations under which a Nuclear Power Plant operates. Included are team inspections comprising "Vital Area Analyses," "Facility Systems Analysis Reports," internal memoranda, Regulatory Effectiveness Review Reports, and related correspondence.

N1-431-88-5
Item 1

a. Official records retained in the NRC File Center.

Cut off when all RER findings are closed (normally 1-5 years). Retire to the Archival Facility one year after cut off. Destroy 10 years after cut off.

b. Extra copies of records used for working or reference.

Destroy when no longer needed for reference purposes.

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RECORDS OF NRC OFFICES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA APPROVED CITATION
12.	<u>Regulatory Information Tracking System - NRR (NRR-RITS)</u>	Retain until it has been determined by a competent NRC official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 12.A.4
	NRR-RITS is an integration of three systems (Technical Assignment Control System [TACS], Inspection Report Tracking System [IRTS], and Manpower System [MPS]) which are updated weekly. Data within the system are retained by staff member, licensee, and technical assignments. The system retains current and historical data on project schedules and staff resources.		
13.	<u>Reports of Defects or Non-Compliance (Part 21 Reports)</u>	Destroy two years after matters reported have been resolved.	NC1-431-81-5 Item 4.4.10
	Numbered reports pertaining to noncompliance 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.		

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA APPROVED CITATION
14.	<p><u>Safeguard Status Reports</u></p> <p>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.</p>	<p>Destroy when superseded by new report.</p>	<p>NC1-431-81-5 Item 4.4.9</p>
15.	<p><u>Seismic Qualification (SEISMIC)</u></p> <p>The system maintains data and information regarding seismic equipment qualifications for NRC staff review and evaluation.</p>	<p>Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.</p>	<p>NC1-431-81-2 Item 11.A.2</p>
16.	<p><u>Statistical and Enforcement Text System (766)</u></p> <p>The system maintains data and information regarding inspection, investigation, inquiry activities, and associated enforcement actions. Textual information concern items of noncompliance, licensee identified item, and deviation identified during an inspection activity.</p>	<p>Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.</p>	<p>NC1-431-81-2 Item 13.C.1</p>

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17.	<p><u>Steam Generators</u></p> <p>The system maintains a data base of engineering information Item 11.A.3 regarding reactor power plant steam generator operating experience. It is used to evaluate the qualitative and quantitative aspects of steam generator operating experience.</p>	<p>Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.</p>	NC1-431-81-2
18.	<p><u>Vendor Topical Reports</u></p> <p>Reports submitted as part of licensing requirements by nuclear steam supply systems vendors containing information of use to utility companies as well as the Commission.</p>	<p>Offer to NARA when 20 years old. If the National Archives declines, destroy when no longer needed.</p> <p>Destroy when microfiche copies are determined to be an adequate substitute for paper copies or when no longer needed if office does not have access to microfiche copies.</p>	NC1-431-81-5 Item 1.1.10
a.	Silver master and one diazo copy of microfiche.		
b.	Paper copies of reports.		

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 21. RECORDS OF THE OFFICE OF NUCLEAR REGULATORY RESEARCH (RES)

The records in this schedule document the planning and implementation of the programs of nuclear regulatory research which the Commission deems necessary for the performance of its licensing and related regulatory functions.

The following record schedules were developed for records unique to RES. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 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>Budget System, Research</u> An automated budget, contract, and financial plan system, maintains data and information regarding laboratory contract proposals, 189's, of the Office of Research; controls, executes, and records monthly cost performance of approximately four hundred R&D tasks throughout the budget and financial plan cycles.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 13.D.3
2.	<u>Experiment and Test Files</u> Experiment and test records that consist of various types of motion picture films, oscillograms, magnetic tapes, etc., on which are recorded raw or unevaluated data; and evaluation data resulting from study of above material, including memoranda, graphs, tabulations, reports, and related papers referred to collectively as "Reduced Data."		

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a. Plans and procedures for conducting the experiment or test.

Destroy when 5 years old.

N1-431-89-5
Item 1.a

b. Record print of edited still and motion picture film resulting from experiments and tests.

(1) Still Photography.

(a) Photographs corresponding to case files which have exceptional value because of the highly significant nature of the research involved, or the uniqueness of the case files and images.

Permanent. Transfer to NARA when 20 years old. For black and white photography, transfer an original negative and captioned work print when feasible. For color photography, transfer whenever feasible any existing finding aids, the original color transparency or color negative, a captioned print, and an inter-negative if one exists. Existing finding aids should be included in the transfer. (NOTE: During archival processing, the NARA Still Picture Branch (NNSP) may destroy without further agency concurrence any material found to be lacking in permanent value.)

N1-431-89-5
Item 1.b.(1)(a)

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RECORDS OF NRC OFFICES

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	(b) Photographs corresponding to case files which lack permanent value.	Destroy after 20 years.	N1-431-89-5 Item 1.b.(1)(b)
	(2) Motion Picture and Videotape records.		
	(a) Records corresponding to case files which have exceptional value because of the highly significant nature of the research involved, or the uniqueness of the case files and images.	<u>Permanent.</u> Transfer to NARA when 20 years old. For motion pictures, transfer an original negative or color original plus sound and projection print whenever feasible. For video recordings, transfer the original or earliest generation of the recording and a dubbing whenever feasible. Existing finding aids should be included in the transfer. (NOTE: During archival processing, the NARA Motion Picture, Sound Recording and Video Branch (NNSM) may destroy without further agency concurrence any material found to be lacking in permanent value.)	N1-431-89-5 Item 1.b.(2)(a)
	(b) Records corresponding to case files which lack permanent value.	Destroy after 20 years.	N1-431-89-5 Item 1.b.(2)(b)

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c. Summary Data and related records.

(1) Summary data, and/or records reflecting significant findings or containing scientific data not duplicated elsewhere which serve as backup for notebook entries and/or reports.

Destroy when 7 years old.

N1-431-89-5
Item 1.c.(1)

(2) Summary data, and/or records that do not reflect significant findings, that are routine or duplicative in nature, or those that do not serve as backup for notebook entries and/or reports.

Destroy when 2 years old or sooner, if no longer needed.

N1-431-89-5
Item 1.c.(2)

d. Source data files, punch cards, magnetic tapes, recorder charts, preliminary drawings, film questionnaires, survey etc., used to collect and assemble data of a preliminary or intermediate character generated from such processes as experiments or observations of a routine, repetitive nature and used for reference in arriving at determinations in the conduct of research projects. Reduced data as described above.

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RECORDS OF NRC OFFICES

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA APPROVED CITATION
(1)	Textual records.	Destroy when the program manager determines that the records have no probable value.	N1-431-89-5 Item 1.d.(1)
(2)	Electronic record files.	Destroy when Program Manager determines that the records have no probable value, erase, and reuse tapes.	N1-431-89-5 Item 1.d.(2)
(3)	Raw test data, consisting of Mitchell camera film, Askania Phototheodilite film, and Fastex film; film recorded charts, graphs, trajectory data oscillograms, and telemetry oscillograms.	Destroy when 5 years old or 1 year after completion of final evaluation report of test project, whichever comes first.	N1-431-89-5 Item 1.d.(3)
e.	Raw data, summary data, and other background materials recommended by the Project Manager for permanent retention due to its continuing research and background value.	<u>Permanent.</u> Cut off files upon completion of the project and retire to IRMB when 2 years old. Transfer to NARA when 20 years old. (NOTE: During archival processing, NARA may destroy without further agency concurrence any material found to be lacking in permanent value.)	N1-431-89-5 Item 1.e
3.	<u>Grants Files</u>		
a.	Case files of contracts, reports, studies, agreements, correspondence, and other records relating to receipt, award, and monitoring of grants.	Destroy 6 years and three months after case is closed.	NC1-431-81-5 Item 1.5.33.a

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RECORDS OF NRC OFFICES

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA APPROVED <u>CITATION</u>
b.	Reports, books, studies, or any other final grant product and related records.	<u>Permanent.</u> Offer to NARA when 10 years old.	NC1-431-81-5 Item 1.5.33.b
c.	Unsuccessful grant application files consisting of applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications.	Destroy 3 years after rejection or withdrawal.	GRS 3-13
d.	Grant administrative files consisting of correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.	Destroy when 2 years old.	GRS 3-14
4.	<u>Laboratory Notebooks</u>		
	Scientists' notebooks containing scientific and technical data resulting from research work, as follows		
a.	Notebooks containing data essential in establishing patent or invention rights excluding those retained permanently under Item 5.b. below.	Cut off files upon completion of project. Destroy 6 years and 3 months after completion or termination of the related project(s), or one year after final patent action, whichever is later.	N1-431-89-5 Item 5.a

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>CITATION</u>
b.	Notebooks corresponding to permanent Research Project Case Files and containing significant scientific and technical data required for complete documentation of experiments some of which may contain patent and invention rights data.	<u>Permanent.</u> Cut off upon completion of project. Retire to IRMB 1 year after completion or 1 year after approval/disapproval of the patent office, whichever is later. Transfer to NARA when 20 years old.	N1-431-89-5 Item 5.b
c.	Notebooks containing data determined by competent scientific or technical personnel either to be duplicated in technical reports or elsewhere in project case files, or to be of such routine or fragmentary nature that their retention would not add significantly to the project file.	Destroy when 5 years old or 1 year after completion of final report, whichever is sooner.	N1-431-89-5 Item 5.b
5.	<u>National Standards Committee Participation System (SDCOM)</u>	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 13.E.1
	The system maintains a computer file of NRC personnel involved in the development of nuclear standards. A Nuclear Standards Directory is produced which associates corporations, committee members, and particular standards activities.		

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NO. DESCRIPTION OF RECORDS

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6. Nuclear Safety Research Review
Committee Records (NSRRC)

a. Records of the NSRRC

Records of the NSRRC consisting of agendas, minutes, briefing materials, transcripts of full committee and subcommittee meetings, reports describing committee and subcommittee findings and recommendations, subject files consisting of internal memorandum, incoming and outgoing correspondence, special studies project files on topics requested by the Office Director or the Commission, and all other documents pertaining to the functions, policies, and program responsibilities of the committee.

Cut off in 5 year blocks and retire to the NRC Archival Facility/ Washington National Records Center. Offer in 5 year blocks to the National Archives and Records Administration when 20 years old.

N1-431-90-3
Item 1

b. General Administration Files

General administrative files pertaining to the routine internal management or general administration of the NSRRC such as budget, travel, procurement, etc. rather than the function for which the NSRRC exists.

Cut off at close of fiscal year. Destroy when 2 years old or sooner if purpose has been served.

GRS 23-1

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

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ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>CITATION</u>
7.	<u>Nuclear Safety Standards Program Files</u>	Destroy when 20 years old.	NC1-431-81-5 Item 4.9.37
	<p>Records accumulated in connection with the development of nuclear safety standards and guides pertaining to the siting of suitable location, design of nuclear power plants, etc. Included are draft standards and guides, comments from staff offices and the public, and related records. Standards are formally published as NRC Regulations, NUREGS, Guides, or Technical Specifications, which are retained permanently in microfiche form. See NRCS 2, Part 14, Item 8.a.(2).</p>		
8.	<u>Personnel Monitoring Report Files</u>		
	<p>Personnel monitoring reports and related information consisting of reports of individual monitoring from licensees required under 10 CFR Part 20. Documents consist of annual personnel monitoring reports and periodic reports of overexposures including NRC Form 5, the information from which is maintained on magnetic tapes accessed using the Radiation Exposure Information Reporting System (REIRS) at Oak Ridge National Lab.</p>		

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RECORDS OF NRC OFFICES

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a.	Personnel monitoring reports and personnel overexposure reports submitted by licensees, from which all data are entered into REIRS.	Destroy 2 years after data are input into REIRS.	N1-431-89-6 Item 1.a
b.	Personnel monitoring reports and personnel overexposure reports that are not placed in the REIRS or of which only selected data are entered into REIRS.	<u>Permanent</u> . Retire to NRC/IRMB in 5 year blocks. Transfer to the National Archives in 5 year blocks when 20 years old.	N1-431-89-6 Item 1.b
c.	Electronic records of personnel monitoring report data, 1978-present (maintained at Oak Ridge National Laboratory). (Reference NRCS 2-21.12 "REIRS System.")	<u>Permanent</u> . Transfer data copy immediately on magnetic tape according to NARA technical requirements. Transfer revised data copies to the National Archives every 5 years.	N1-431-89-6 Item 1.c
d.	REIRS system programming and documentation.	<u>Permanent</u> . Transfer to the National Archives on an ongoing basis in conjunction with item 10c.	N1-431-89-6 Item 1.d
e.	Computer printouts produced by any organizational level.	Destroy when superseded or obsolete.	NC1-431-81-5 Item 1.4.27(c)
9.	<u>Plans and Systems Design Descriptions</u> Drawings and plans of 64 systems associated with the LOFT * reactor. Maintained by the research contractor at the facility.	<u>Permanent</u> . Offer to NARA when 20 years old.	NC1-431-81-3 Item 2

*Loss of fluid test.

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10. Radiation Exposure Information System (REIRS)

The system maintains radiation exposure data reported by NRC licensee according to category such as: commercial reactors, industrial radiographers, fuel fabricators and processors, and commercial distributors of specified quantities of by-product material. Such data assist in the evaluation of the effectiveness of NRC's regulatory program.

Permanent. Transfer data copy immediately on magnetic tape according to NARA technical requirements. Transfer revised data copies to the National Archives every 5 years. (Initial transfer occurred 8/24/90.)

N1-431-89-6
Item 1.c

11. Rejected Research Project Proposals

All proposals for research projects consisting of unsolicited contract proposals from individuals and organizations which were not funded by NRC.

Destroy 2 years after disapproval of funding.

N1-431-89-5
Item 2

12. Research Program Files

Records consisting of documents, data, and correspondence relating to the formulation, planning, direction, review, and evaluation of research in major program areas.

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	a. Documents generated, received, signed, or maintained at the Office Director level.	<u>Permanent.</u> Cut off files annually and retire to IRMB when 2 years old. Transfer to NARA when 20 years old. (Reference NRC schedule 1-2.2.a.).	N1-431-89-5 Item 3.a
	b. Documentation at the division level and below.	Cut off files annual. Destroy when 10 years old. (Reference NRC schedule 1-2.2.b.).	N1-431-89-5 Item 3.b
13.	<u>Research Project Case Files</u> Technical documents, memoranda, monthly or quarterly highlight reports, program reports, status reports, management letters, original of tracings of drawings, specifications, and duplicate photographs of completed products, or apparatus, and references pertinent to a project maintained by the Project Manager.		
	a. Case files deemed by the NRC or NARA to have exceptional value because of the highly significant nature of the research involved or uniqueness of the case file. Included are files that:	<u>Permanent.</u> Cut off files after completion or termination of the project and retire to IRMB when 2 years old. Transfer to NARA in annual blocks when 20 years old.	N1-431-89-5 Item 4.a
	(1) Show development of new and significant techniques.		
	(2) Relate to new and significant methodology and materials.		

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	(3) Were the subject of Congressional investigation or came under intensive public scrutiny.		
	(4) Result in judicial decisions or legislative activities affecting the functions and activities of the NRC.		
	(5) Result in significant changes in regulatory activities and functions of the NRC.		
	b. All other case files.	Destroy when 20 years old.	N1-431-89-5 Item 4.b
14.	<u>Scientific and Technical Reports</u>		
	These are published and unpublished scientific and technical reports, as defined in NRC Management Directive 3.8.		NC1-431-81-5 Item 4.8.28
	a. Record copy officially designated by the originating NRC office or contractor.		
	(1) Published reports.	See NCRS 2, Part 14, Item 8.a. for authorized disposition.	
	(2) Unpublished reports.	<u>Permanent</u> . Offer to NARA in annual blocks when 20 years old.	

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	b. All other copies.	Destroy when no longer needed for reference.	
15.	<u>Still Photographs Associated with Loss of Fluid Transfer (LOFT)</u>	<u>Permanent.</u> Break file every five years. Offer negative and print to NARA five years after file break.	NC1-431-81-4 Item 1.e
	Still photographs of instruments, facilities, procedures, and special visits associated with the LOFT reactor. Prints are maintained in the Office of Nuclear Regulatory Research, Division of Accident Evaluation, Experimental Programs Branch and negatives are maintained by the research contractor arranged by subject.		
16.	<u>Video Recordings For Research Projects</u>		
	Experiment and Test records for research projects, as follows:		
	a. Edited, educational motion picture film or video-recordings on the LOFT program. Originals may be maintained by contractors and prints or dubbings maintained in the Office of Nuclear Regulatory Research, Division of Accident Evaluation, Experimental Programs Branch.	<u>Permanent.</u> Offer original, intermediate copy and print or dubbing to the National Archives when five years old.	NC1-431-81-4 Item 3.F

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b. Unedited documentary motion
picture film or video
recordings resulting from
LOFT experiments and tests.

Destroy when no longer
needed.

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RECORDS OF NRC OFFICES

PART 22. RECORDS OF THE OFFICE OF HUMAN RESOURCES

The Office of Human Resources (HR) provides overall leadership and management of human resources policy and program development and human resources services delivery. Plans and implements NRC policies, programs, and services to provide for employment services and operations, labor relations, organizational development, training, and human resources information and analysis. Administers and manages the NRC occupational safety and health programs including oversight of the workers' compensation and employee assistance programs; and the headquarters child care facility, health unit, and fitness center. Provides advice and support for the planning, development, implementation, oversight, and evaluation of HR information systems. Conducts HR budget formulation, justification, and execution; manages the development and implementation of HR accounting systems and carries out financial management coordination. Develops and implements the HR strategic plan; devises both short and long-range plan consistent with agency wide programmatic goals and objectives; assists and advises NRC management in the planning and implementation of HR goals consistent with agency policies and mission.

The following record schedules were developed for records unique to HR. Reference NRC Schedule 1, "Records Common To Most Offices", and the General Records Schedules 1 through 23 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>Audio Cassettes for Technical Training</u> Audio Cassettes purchased from outside sources for technical training of NRC Staff.	Erase and reuse when no longer needed.	NC1-431-81-4 Item 4

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
2.	<u>Automated Personnel System (APS)</u> The Automated Personnel System maintains records on NRC personnel regarding previous employment, history of NRC employment, and present status. Information and data regarding various employee actions are input to the system. These actions are: accessions, transfers, terminations; and/or regular reports such as: notice of in-grade step, employment trends, minority employment, skills and levels, grades by sex or minority and anticipated retirement levels.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 13.I.6
3.	<u>Awards Files</u>		
	a. Records relating to meritorious and distinguished service awards made at the Commission level and maintained by the Office of Personnel.	<u>Permanent.</u> Offer to NARA when 10 years old.	NC1-431-81-5 Item 1.5.28
	b. Copies of records described in a. above exclusive of those filed in Official Personnel Folders.	Destroy 2 years after award is made.	

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4.	<u>Personnel Exposure Files</u>		
	Records accumulated to measure the degree of radiation exposure of individuals to external radiation and internally deposited isotopes.		
	a. Individual NRC personnel folders containing data and radiation exposure.	Destroy 75 years from the date of the creation of the record.	NC1-431-81-5 Item 1.4.25
	b. Film badge processing reports.	Destroy 75 years from date of report	
5.	<u>Training Aids</u>		
	a. One copy of each manual, syllabus, textbook, and other training aid for management and technical subjects developed by the Commission and maintained by the Human Resources Development staff, Office of Human Resources and the AEOD Training officers, both Headquarters and Chattanooga, Tennessee.	<u>Permanent</u> . Offer to NARA when 10 years old.	NC1-431-81-5 Item 1.5.40
	b. Training aids from other agencies or private institutions.	Destroy when superseded or obsolete.	

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PART 23. RECORDS OF THE OFFICE OF PUBLIC AFFAIRS

The Office of Public Affairs (OPA) develops policies, programs, and procedures for the Chairman's approval for informing the public of NRC activities. Prepares, clears, and disseminates information to the public and the news media concerning NRC policies, programs, and activities; keeps NRC management informed on media coverage of activities of interest to the agency; plans, directs, and coordinates the activities of public information staffs located at Regional Offices; conducts a cooperative program with schools; and carries out assigned activities in the area of consumer affairs.

The following record schedules were developed for records unique to OPA. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 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>Information Files</u>		
a.	Complete set of formal informational releases and publications, press conference transcripts, official speeches, and indexes thereto maintained by the Office of Public Affairs.	<u>Permanent</u> . Offer to NARA when 10 years old.	NC1-431-81-5 Item 1.5.34
b.	Copies of records described in a. above.	Destroy when no longer needed.	

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RECORDS OF NRC OFFICES

PART 24. RECORDS OF THE REGIONAL OFFICES

The NRC Regional Offices execute established NRC policies and assigned programs relating to inspection, enforcement, licensing, state agreements, state liaison, and emergency response within their Regional boundaries.

The following record schedules were developed for records unique to the Regions. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 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>Action Item Tracking System (AITS)</u> The system tracks the status of individual work assignments for inspection and enforcement and its principal organizational components.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 12.C.1
2.	<u>Duplicate Nuclear Power Plant Docket Files</u> Duplicate copies of NRR's nuclear power plant docket files located in the regional offices except for documentation described in NRC Schedule 2, Part 24, Item 7.b.	Destroy when 5 years old or sooner if purpose has been served.	NC1-431-81-5 Item 1.3.20.d

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3.	<u>Emergency Planning Files</u>		
	a. Case files accumulated in the Regional Offices, consisting of a record copy of each plan or directive issued, and related background papers.	<u>Permanent.</u> Offer to NARA when 20 years old.	NC1-431-81-1 Item 3.a
	b. Record set of NRC reports of operation tests accumulated in the Regional Offices, consisting of consolidated or comprehensive reports reflecting results of tests conducted under emergency plans.	<u>Permanent.</u> Offer to NARA when 20 years old.	NC1-431-81-1 Item 3.b
	c. Copies of records pertaining to office participation in emergency planning exercises and tests maintained in the various offices throughout NRC.	Destroy when superseded or obsolete.	NC1-431-81-1 Item 3.c
4.	<u>Fuel Facilities, Transportation, Byproduct, Source, and Special Nuclear Material Docket Files</u>		
	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		

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and amendments, and all related licensing documentation. Decommissioning records for these licenses are permanent and require maintenance as a subset of each case file as specified in SECY 90-316. Reference Item c. below for authorized disposition.

Excluded are case files (under 10 CFR Part 40) with license prefix of "SUA" which are covered by the High-level, Low-Level, and Uranium Recovery Docket File schedule (NRCS 2-19.18). Post 1983 Regional case files include the Inspection and Enforcement Case File documentation described in the Inspection and Enforcement Case File schedule (N1-431-92-1, Items 1.b, c, and d.), and are retained as one case file under this schedule. For the purposes of applying the authorized disposition instructions, a withdrawn or denied license application is considered terminated on the date of withdrawal or denial.

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a.	The Office of Nuclear Material Safety and Safeguard's (NMSS) terminated official licensing case files consisting of NRC Archival Facility job numbers 1700, 1708-1710, and 1722, (originally 379-383), that were reviewed by the Oak Ridge National Laboratory during 1977 through 1980 to ensure properly documented license terminations.	<u>Permanent.</u> Transfer to NARA at end of FY 1996.	N1-431-92-3 Item 1.a
b.	Case Files covering licensee or which licensing jurisdiction is transferred to the State under agreement covering transfer of function.	Transfer to Agreement states.	NC1-431-81-5 Item 1.3.22.b
c.	All copies in NMSS and Regional Offices.	Destroy when 1 year old or earlier if purpose has been served.	NC1-431-81-5 Item 1.3.22.c
d.	Official case files of the NMSS and the Regional offices including the decommissioning segment, except for those described in item a. above, determined by the NRC to have exceptional value because of the historical significance of their contents or their uniqueness. Included are files that:	<u>Permanent.</u> Cut off upon license termination, following completion of decommissioning procedure. Retire to WNRC through IRM at end of fiscal year. Transfer to NARA 20 years after termination of license.	N1-431-92-3 Item 1.b

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(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.

e. Decommissioning records segment of disposable licensing case files located at the File Center and Regional offices, consisting of the following types of documents:

(1) All license applications, amendment requests, and renewal requests.

(2) Complete license, including all amendments.

(3) Termination amendment.

(4) Licensee request for license termination and all supporting documentation including plans for completion of decommissioning.

Permanent. Cut off upon license termination following completion of decommissioning procedure. Retire to WNRC through IRM at end of fiscal year. Transfer to NARA 20 years after termination.

N1-431-92-3
Item 1.c

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- (5) Forms dealing with disposition of material (NRC/AEC Form 314, AEC Form HQ-277, and other forms) and/or letters from licensees dealing with disposition and status of material.
- (6) Reports of NRC closeout inspections.
- (7) Letter of certification from NRC official stating that license can be terminated.
- (8) Any closeout survey by NRC, the licensee, or a contractor working for either NRC or the licensee.
- (9) Any additional documents dealing with disposition of waste or other material or residual contamination on the site, including records of on-site burials.

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- (10) All documents related to financial assurance for decommissioning, including decommissioning funding plans, certifications of financial assurance for decommissioning, related cost estimates, and records of funding methods.
- (11) Records of spills and other unusual occurrences involving the spread of contamination in and around the facility, equipment, or site.
- (12) As-built drawings and modifications of structures and equipment in restricted areas where radioactive materials were used or stored and locations of possible inaccessible contamination.
- (13) Any additional documents which refer to decommissioning, decontamination, or termination of the license, including interim or partial decommissioning or specific facilities at any time during the history of licensed operations.

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	(14) Any enforcement documents related to decommissioning and decontamination activities.		
	f. Other case files, excluding the decommissioning segment, that do not meet the criteria for permanent retention.	Cut off upon license termination, following completion of decommissioning procedure. Retire to WNRC through IRM at end of fiscal year. Destroy 20 years after termination of license.	N1-431-92-3 Item 1.d
5.	<u>Health Records Files</u>		
	Health case files on NRC employees, exclusive of records relating to unique occupational hazards of the atomic energy program, covered by item 12 of this schedule, comprising forms and correspondence and related papers documenting medical treatment.	See GRS 1, Item 21 for authorized disposition	NC1-431-81-5 Item 1.4.24
6.	<u>Information Files</u>		
	a. Complete set of formal 81-5 informational releases and publications, press conference transcripts, official speeches, and indexes thereto maintained by the Regional Offices.	<u>Permanent.</u> Offer to NARA when 10 years old.	NC1-431-81-5 Item 1.5.34

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b.	Copies of records described in a. above.	Destroy when no longer needed.
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7. Inspection and Enforcement Case Files

Files documenting the inspection activity and enforcement actions relating to power and non-power reactors, byproduct, source, and special nuclear material licenses, including copy of license, inspection and follow-up reports, inspectors' notes, enforcement action documents, final certification that premises are free of radiological contamination, and related documentation. Decommissioning records for this series are permanent and require maintenance as a subset of each file as specified in SECY-90-316. Reference item c. below for authorized disposition. Post 1983 regional inspection and enforcement documentation for byproduct, source, and special nuclear material, are retained with the licensing case file and follow the authorized disposition for material licensing case files (N1-431-92-3, Items 1.b, c, and d). For the purposes of applying the authorized disposition instructions, a withdrawn or denied license application is considered terminated on the date of withdrawal or denial.

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ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA APPROVED <u>CITATION</u>
a.	Regional inspection and enforcement case files for material licenses terminated 1965 and prior.	<u>Permanent.</u> Transfer to NARA at end of FY 1996.	N1-431-92-1 Item 1.a
b.	Official case files including the decommissioning segment, except for those described in item a. above, located at Regional offices, determined by the NRC to have exceptional value because of the historical significance of their contents or their uniqueness. Included are those inspection and enforcement case files that relate to the docket numbers retained permanently under NRC Schedule N1-431-92-2, Item 1.a., and N1-431-92-3, Item 1.b., i.e., those files that:	<u>Permanent.</u> Retain current fiscal year and last four years in Regional file room. Retire, by facility, to WNRC through IRM annually if the records consist of at least one cubic foot and are over five years old. Closing date is the termination date following completion of decommissioning (which is the license date plus 40 years). Transfer to NARA 20 years after termination of license.	N1-431-92-1 Item 1.b
	(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.		

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c.	Decommissioning records segment of disposable inspection and enforcement case files relating to power and non-power reactors located at Regional offices consisting of Regional records relating to the following types of documents:	<u>Permanent.</u> Retain current fiscal year and last four years in Regional file room. Retire, by facility, to WNRC through IRM annually if the records consist of at least one cubic foot and are over five years old. Closing date is termination date following completion of decommissioning procedure (which is the license date plus 40 years). Transfer to NARA 20 years after termination of license.	N1-431-92-1 Item 1.c
	(1) Application for Possession-Only license.		
	(2) Possession-Only license amendment and any associated technical specifications (TS).		
	(3) Decommissioning or Dismantling Plan and associated TS changes.		
	(4) Requests for additional information on applications for Possession-Only licenses, Decommissioning and Dismantling Plans, and responses from licensee.		

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(5)	Federal Register Notices for applications for Possession-Only licenses and Decommissioning and Dismantling Plans.	
(6)	Decommissioning and Dismantling Orders.	
(7)	Final site surveys by licensee.	
(8)	Final site surveys by regional inspectors.	
(9)	All license amendments and associated TS changes following the initial application by the licensee for Possession-Only license.	
(10)	All documents related to financial assurance for decommission, including decommissioning funding plans, certifications of financial assurance for decommissioning, related cost estimates, and records of funding methods.	
(11)	Records of spills and other unusual occurrences involving the spread of contamination in and around the facility, equipment, or site.	

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(12) License termination orders and associated safety evaluations.

(13) As-built drawings and modification of structures and equipment in restricted areas where radioactive materials were used or stored and locations of possible inaccessible contamination.

(14) Any additional documents which refer to decommissioning, decontamination, or termination of the license, including interim or partial decommissioning of specific facilities at any time during the history of licensed operations.

(15) Any enforcement documents related to decommissioning and decontamination activities. Decommissioning records segment of disposable inspection and enforcement case files relating to post 1983 regional fuel facilities, transportation, byproduct, source, and special nuclear material licenses are filed with the related material licensing case files. Reference the

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records schedules for the material licensing case files contained in N1-431-92-3, Items 1.b, c, and d, for the material licensing decommissioning records types and their authorized disposition.

- d. Other case files in Regional offices that do not meet criteria for permanent retention, excluding the decommissioning segment.

Retain current fiscal year and last four years in Regional file room. Retire, by facility, to WNRC through IRM annually if the records consist of at least one cubic foot and are over five years old. Closing date is the termination date following completion of decommissioning procedure (which is the same as license date plus 40 years). Destroy 20 years after termination of license.

NI-431-92-1
Item 1.d

- e. All other copies in NMSS, NRR, and Regional offices.

Nonrecord. Destroy when 1 year old or earlier if no longer needed

NI-431-92-1
Item 1.e

- f. Case files of both Headquarters 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 to the Agreement State.

NC1-431-81-5
Item
4.4.6.b.(3)

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8.	<p><u>Licensee Mismanagement Files</u></p> <p>Licensee reports and other records relating to incidents of the mismanagement of radiation administered to individuals by licensees (primarily doctors or other medical facilities) containing name of individuals and other data pertaining to the mismanagement.</p>	<p>Files to be maintained by licensee or State office of radiological safety for 75 years from date of report. If records are deposited with NRC, destroy 75 years from date of report.</p>	<p>NC1-431-81-5 Item 1.4.26</p>
9.	<p><u>Module Status Report System</u></p> <p>The system maintains the status of all modules required to be inspected under various inspection programs. Information includes definition of inspection program being monitored, facilities selected for review, modules with overdue inspections, inspection profile, and a transaction listing of all facilities included in the review.</p>	<p>Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.</p>	<p>NC1-431-81-2 Item 12.C.4</p>
10.	<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>	<p>NC1-431-81-5 Item 4.4.12</p>

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ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>CITATION</u>
11.	<p><u>Outstanding Item Systems (OIS)</u></p> <p>The system tracks all items which require follow-up action by Project and Specialist Inspectors.</p>	<p>Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.</p>	<p>NC1-431-81-2 Item 12.C.3</p>
12.	<p><u>Personnel Exposure Files</u></p> <p>Records accumulated to measure the degree of radiation exposure of individuals to external radiation and internally deposited isotopes.</p>	<p>Destroy 75 years from the date of the creation of the record.</p> <p>Destroy 75 years from date of report.</p>	<p>NC1-431-81-5 Item 1.4.25</p>
13.	<p><u>Reactor Operator and Senior Operator Docket Files</u></p> <p>Case files containing information pertaining to 10 CFR Part 55 applicants for a license, licensed operators, and individuals who previously held licenses. Documentation includes applications for a license, licenses, denial letters and related licensing correspondence, correspondence pertaining to actions taken against a</p>	<p>Cutoff files upon latest license expiration/ termination/revocation, application denial or withdrawal, or issuance of denial letter. Retire to FRC when 3 years old. Destroy when 10 years old.</p>	<p>N1-431-90-4 Item 1</p>

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

NARA
APPROVED
CITATION

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

licensee, 10 CFR Part 50.74
notifications, certifications of
medical examinations and related
medical information, fitness for
duty information, examination
results, and other docket
information.

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 25. RECORDS OF THE OFFICE OF THE SECRETARY

The Office of the Secretary of the Commission (SECY) develops policies and procedures for the provision of complete secretariat services required for the discharge of Commission business and implementation of Commission decisions. The Secretary advises and assists, the Commission, offices reporting directly to the Commission, and staff on the planning, scheduling, and conduct of Commission business. The Assistant Secretary performs functions of the Federal Advisory Committee Management Officer, and maintains liaison with certain boards and advisory committees.

The following record schedules were developed for records unique to SECY. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 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 (SECY) Paper Files</u> Commission Papers, generally referred to as SECY Papers, are formal documents prepared by NRC staff offices, Commission staff offices, ACRS, and Boards and Panels as the principal instrument by which the Commission receives recommendations for decision and information on significant matters. Copies of all SECY papers are filed subjectively in the Secretariat subject file (NRC Schedule 1 Part 2, Item 2.a).		

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

NARA
APPROVED
CITATION

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA APPROVED CITATION
a.	<u>Commission (Secy) Paper Comment Folders</u> which are case files comprising the official record of the Commissioners' voting and their comments. Folders include a copy of the Secy Paper, vote sheets, and related comments and correspondence, arranged numerically by Secy Paper Number.	<u>Permanent.</u> Offer to NARA when 20 years old.	NC1-431-81-5 Item 2.3.7
b.	Other copies of Commission (Secy) Papers.	Destroy when no longer needed for reference.	
2.	<u>Commission Tracking System</u>		
	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 the office responsible for the action, and the status of each action (i.e., 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.	NC1-431-81-2 Item 12.K.1
3.	<u>Commission's Decisional License Docket Files</u>		
	The official license files of the Commission maintained in the Office of the Secretary containing copies of Licensing Board and Appeal Panel Orders and transcripts of hearings,	<u>Permanent.</u> Offer to NARA 5 years after expiration or revocation of license.	NC1-431-81-5 Item 1.3.16

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

NARA
APPROVED
CITATION

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

exhibits consisting of copies of pertinent staff documents, Commission orders and decisions, and filings by various parties and related documentation in all licensing proceedings. The files are arranged numerically by docket number.

4. Narrative Histories

Narrative histories of the Commission and its work, including oral history projects.

a. Record copy maintained by the NRC Historian.

Permanent. Offer to NARA when 10 years old.

NC1-431-81-5
Item 1.5.35

b. All other copies.

Destroy when superseded or obsolete.

5. Oral History Sound Recordings

Oral history sound recordings of NRC officials maintained by the Chief Historian, Office of the Secretary.

Erase and reuse when no longer needed.

NC1-431-81-4
Item 4.b

6. Rulemaking Docket Files

Copies of rulemaking documents sent to the Office of the Federal Register for publication, and related correspondence and other documentation.

Destroy 5 years after the completion (through adoption or withdrawal) or rulemaking proceedings noticed in the Federal Register.

NC1-431-81-5
Item 2.3.10

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>
7.	<u>Stenographic Tapes of Commission Meetings</u>		
	a. Tapes of open meetings.	Destroy when transcribed.	NC1-431-81-5 Item 2.3.9
	b. Tapes of closed meetings.	Destroy when two years old or later when a <u>complete</u> transcript has been disclosed, except that all tapes of TMI are to be retained until disposal has been authorized by the Office of General Counsel.	
8.	<u>Transcripts of Commission Meetings</u>		
	Verbatim transcripts of open and closed meetings of the Commission, arranged chronologically by date of meeting.	<u>Permanent</u> . Offer to NARA when 20 years old.	NC1-431-81-5 Item 2.3.8

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 26. RECORDS OF THE OFFICE OF SMALL BUSINESS AND CIVIL RIGHTS

The Office of Small Business and Civil Rights (OSBCR) develops and implements, in cooperation with the Director, Division of Contracts and Property Management, and Directors of other affected Offices, specific policies and procedures to carry out the functions and duties of Sections 8 and 15 of the Small Business Act and Executive Order 12138, as they relate to the NRC. Provides focus for NRC efforts to assist small businesses, small businesses owned by socially or economically disadvantaged individuals, women-owned businesses, and firms in labor surplus areas.

The following record schedule was developed for records unique to the OSBCR. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 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>General Files</u> General correspondence, memoranda, reports, and other records pertaining to the implementation of the office's program of assisting small and disadvantaged businesses or required by amendments to the Small Business Act of 1958.	Cut off file annually. Destroy when 5 years old.	NC1-431-81-5 Item 4.3.4

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 27. RECORDS OF THE OFFICE OF STATE PROGRAMS

The Office of State Programs (OSP) plans and directs NRC's program of cooperation and liaison with States, local governments, interstate, and Indian Tribe organizations. Participates in the formulation of policies involving NRC/State cooperation and liaison; develops and directs administrative and contractual programs for coordinating and integrating Federal and State regulatory activities; maintains liaison between NRC and State, interstate, regional, Indian Tribe, and quasi-governmental organizations on regulatory matters; monitors nuclear-related State legislative activities; and directs regulatory activities of State Liaison Officers located in Regional Offices. Participates in policy matters on State Public Utility Commissions (PUCs).

OSP also plans, implements, and manages the State Agreements program under the provisions of Section 274 of the Atomic Energy of 1954, as amended. Monitors the State Agreements program to evaluate its compatibility with the NRC regulatory program and adequacy to protect the public health and safety. Provides and coordinates training and technical assistance to the Agreement States. Recommends and administers policy for the Agreements State programs. Directs regulatory activities of State Agreement Officers located in Regional Offices. Provides technical support and guidance to other NRC offices whose functional responsibilities require liaison with State Agreement operations. Reviews Agreement State materials licensing and inspection programs for technical adequacy and consistency.

The following record schedules were developed for records unique to OSP. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 28 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>Agreement State Files</u>		
a.	Copies of State enabling legislation, cooperative agreements between NRC and State government agencies, and Commission papers on the Agreements.	<u>Permanent.</u> Offer to NARA 5 years after any revocations or termination of agreement.	NC1-431-81-5 Item 4.10.38

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA APPROVED <u>CITATION</u>
	b. Review meeting reports and correspondence with individual Agreement States.	<u>Permanent.</u> Offer to NARA when 5 years old.	
2.	<u>Health Training Files</u>		
	Correspondence and reports pertaining to the presentation of and attendance at individual NRC-sponsored training courses for Agreement State personnel. Courses pertain to radiation control and radiological response programs.	Destroy when 3 years old or sooner if purpose has been served.	NC1-431-81-5 Item 4.10.40
3.	<u>Information Report on State Legislation</u>		
	Summary report published bimonthly reflecting individual States' legislation pertaining to nuclear regulatory matters.		
	a. Record set of each report maintained by Office of State Programs.	<u>Permanent.</u> Offer to NARA in biannual blocks when 5 years old.	NC1-431-81-5 Item 4.10.42
	b. Other copies.	Destroy when no longer needed.	
4.	<u>Non-Agreement State Files</u>		
	Copies of State Acts pertaining to nuclear regulatory matters and related correspondence with individual non-Agreement States.	Destroy when 10 years old.	NC1-431-81-5 Item 4.10.39

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.	<u>State Legislation Files</u> Copies of proposed State legislation relating to nuclear control and regulations obtained for NRC by contractor. Information is used in the preparation of the Information Report on State Legislation (Item 3 above).	Destroy when no longer needed for reference.	NC1-431-81-5 Item 4.10.41

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 28. RECORDS OF THE URANIUM RECOVERY FIELD OFFICE

The Uranium Recovery Field Office (URFO) became fully operational in October 1983. URFO's purpose was to implement NRC policy regarding uranium recovery facilities and remedial actions for inactive processing sites. The office was abolished on September 30, 1994.

The following records schedules were developed for records unique to URFO. Reference NRC Schedule 1, "Records Common to Most Offices," and the General Records Schedules 1 through 23 for other applicable schedules.

The responsibility for the records series listed below has been transferred to the Office of Nuclear Materials Safety and Safeguards. The new citations are noted.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
1.	<u>High-Level, Low-Level, and Uranium Recovery Docket Files</u> Case Files documenting the licensing of high-level, low-level, or uranium recovery operations, including mills, solution mining, and heap leaching or 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. The files are arranged by docket number.	<u>Permanent.</u> Offer to NARA when 10 years old.	NC1-431-81-5 Item 1.3.23

Records described above as Item 1 are now listed under NRC Schedule 2, Item 19.18.

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

NARA
APPROVED
CITATION

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

2. UMTRAP Project Licensing Case Files

Project files documenting the concurrence and licensing activities for the Uranium Mill Tailings Remedial Action Program (UMTRAP), pursuant to the Uranium Mill Tailings Radiation Control Act of 1978.

a. Official project files located in the NRC File Center (Central Files) and Uranium Recovery Field Office.

Permanent. Cut off files in 1995 and retire in 5 year blocks thereafter. Region IV, Retire to WNRC 1 year after cutoff. Case files are to remain in NRC custody until licenses are terminated, expired, or 75 years old, whichever is earlier. Review and offer terminated or expired licenses and material more than 75 years old to NARA at 20 year intervals beginning year 2020.

NCI-431-89-1
Item 1

(NOTE: Transfer textual finding aid to NARA at the time of transfer of official files corresponding to finding aid.)

b. All other copies

Destroy one year after termination or expiration of license or sooner if no longer needed for reference.

Nonrecord

Records listed above under Item 2 are now listed in NRC Schedule 2, Part 19.17.

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 29. RECORDS OF THE OFFICE OF POLICY PLANNING

The Office of Policy Planning was established to serve as the principal advisor to the Executive Director for Operations (EDO) and the Commission for policy planning in support of the NRC's mission. The office developed and examined long-range policy issues relative to NRC programs; provided the lead in the strategic planning process; and assessed policy issues, operational environments and alternatives, and provided recommendations to the EDO and the Commission.

Due to agency streamlining and other organizational considerations, the office was abolished in October 1994.

No schedules were developed for material unique to this office. Reference NRC Schedule 1, "Records Common To Most Offices," and the General Records Schedules 1 through 23 for applicable schedules.

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<u>Series</u>	<u>Former Citation</u>	<u>Current Citation</u>	<u>Comments</u>
Records of the Office of Administration			
Graphic Arts Files	2-1.8	2-14.3	Transferred
Holding Action System (HAS)	2-1.9	2-1.8	Re-numbered
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Security Policy Files	2-1.12	2-1.11	Re-numbered
Security Violations (Felonies) Files	2-1.13	2-1.12	Re-numbered
Still Photography Files	2-1.14	2-1.13	Re-numbered
Systems Security Records	2-1.15	2-1.14	Re-numbered
Video Recording Files	2-1.16	2-1.15	Re-numbered
Records of the Office of the Commission			
Office Files of the Chairman and Commissioners		2-6.2	New Schedule
Records of the Office of Consolidation	2-9	2-1	Transferred

<u>Series</u>	<u>Former Citation</u>	<u>Current Citation</u>	<u>Comments</u>
Records of the Office of Nuclear Material Safety and Safeguards (NMSS)			
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Records of the Office of Nuclear Reactor Regulation (NRR)			
Nuclear Power Plant Docket Files	2-20.9.a-d.	2-20.9.a-e.	New schedule
Records of the Office of Nuclear Regulatory Research (RES)			
Experiment and Test files	2-21.2.a-c.	2-21.2.a-e.	New schedule
Field Test Files	2-21.3.	2-21.2.	Merged
Grants Files	2-21.4	2-21.3.	Re-numbered
Laboratory Notebooks	2-21.5.a-b.	2-21.4a-c.	New schedule
National Standards Committee Participation System (SDCOM)	2-21.6.	2-21.5.	Re-numbered
Nuclear Safety Research Review Committee Records (NSRRC)	2-21.7.	2-21.6.	Re-numbered

<u>Series</u>	<u>Former Citation</u>	<u>Current Citation</u>	<u>Comments</u>
Nuclear Safety Standards Program files	2-21.8.	2-21.7.	Re-numbered
Original Tracings of Drawings, Specifications, and Photographs of Completed Product or Apparatus	2-21.9	2-21.13.	Merged
Personnel Monitoring Report Files	2-21.10	2-21.8.	Re-numbered
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Research Program Files	2-21.15.	2-21.12.	New schedule
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Video Recordings For Research Projects	2-21.19.	2-21.16.	Re-numbered

<u>Series</u>	<u>Former Citation</u>	<u>Current Citation</u>	<u>Comments</u>
Records of the Office of Human Resources (formerly Office of Personnel)			
Health Records Files	2-22.4.	GRS 1-19 & GRS 1-21	Superceded
Personnel Exposure Files	2-22.5	2-22.4	Re-numbered
Training Aids	2-22.6	2-22.5	Re-numbered

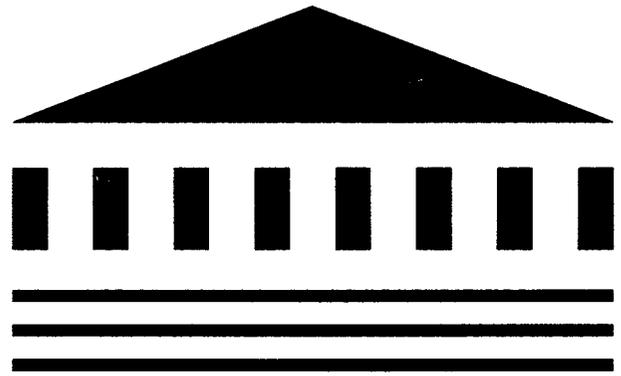
Records of the Regional Offices

Fuel Facilities, Transportation, Byproduct, Source, and Special Nuclear Material Docket Files	2-24.4.a.	2-24.4.a. 2-24.4.d. 2-24.4.e. 2-24.4.f.	New schedule New schedule New schedule New schedule
Inspection and Enforcement Case files	2-24.7.	2-24.7.	New schedule

Records of the Office of the Secretary

Bibliographic Retrieval System	2-25.1	2-14.14	Transferred to the CIO
Commission (SECY) Paper Files	2-25.2	2-25.1	Re-numbered
Commission Tracking System	2-25.3	2-25.2	Re-numbered
Commission's Decisional License Docket Files	2-25.4	2-25.3	Re-numbered
Duplicate Nuclear Power Plant Docket Files of the PDR	2-25.5	2-14.15	Transferred to the CIO
Narrative Histories	2-25.6	2-25.4	Re-numbered
Oral History Sound Recordings	2-25.7	2-25.5	Re-numbered
Rulemaking Docket Files	2-25.8	2-25.6	Re-numbered

<u>Series</u>	<u>Former Citation</u>	<u>Current Citation</u>	<u>Comments</u>
Stenographic Tapes of Commission Meetings	2-25.9	2-25.7	Re-numbered
Transcripts of Commission Meetings	2-25.10	2-25.8	Re-numbered
Records of the Uranium Recovery Field Office			
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General Records Schedules

National Archives and
Records Administration
College Park, MD

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August 1995

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INTRODUCTION TO THE GENERAL RECORDS SCHEDULES

General Records Schedules (GRS) are issued by the Archivist of the United States to provide disposal authorization for temporary records common to several or all agencies of the Federal Government. They include records relating to civilian personnel, fiscal accounting, procurement, communications, printing, and other common functions, and certain nontextual records. These records comprise an estimated one-third of the total volume of records created by Federal agencies.

In 1978, use of the GRS was made legally mandatory. The disposal authorizations must be used by a Federal agency to the greatest extent possible. Because these schedules are designed to cover records common to several agencies, the records descriptions are general. Agency records officers may use the schedules either as an appendix to an agency printed schedule or tailored to the agency's own particular needs and incorporated into agency schedules.

The GRS does not cover all records of an agency. It must be supplemented by schedules for unique program records. Agencies should exercise particular care in applying the GRS to subject or correspondence files that may include a mix of administrative and program records. Usually, administrative subject files have short retention periods, less than 3 years. Program subject files may be needed by the agency for 10 years or more, and may have archival value as well. Agencies should maintain administrative records separately from program records. If administrative records are mixed with program records and cannot be economically segregated, the entire file should be kept for the period of time approved for the program records. Similarly, if documents covered by these schedules are part of a subject or case file that documents activities different from those covered by the schedules, they should be treated in the same manner as the files of which they are a part.

For more information on scheduling unique program records, including potentially permanent records, see the *Disposition of Federal Records Handbook*. Also, NARA has prepared a series of instructional guides that provide information on scheduling nontextual records that are not covered by the GRS. The handbook and separate guides on electronic records, audiovisual records, and cartographic and architectural records are available from the National Archives and Records Administration, Publications Distribution (NECD), Room G-9, Washington, DC 20408.

GRS items cover only record copies. In some instances, more than one copy of a document or file would be considered a record if different offices use it to perform different functions. When it is difficult to decide whether files are record or nonrecord materials, the records officer should treat them as records. Records officers may consult with the National Archives and Records Administration (NIR) to determine the record or nonrecord status of particular files.

The disposition instructions in the GRS are to be implemented without further approval from NARA, with the exception that most records created before January 1, 1921, must first be offered to NARA for appraisal. If NARA rejects these records they may be destroyed immediately. GRS 3, 11, 16, and 21 have other delimiting dates. Agencies that convert records covered by the GRS to microform should apply the GRS disposition standards to the microform copies and destroy the paper copies after verification of the film unless legal considerations require longer retention of the paper (36 CFR 1230.10(b)). No further authorization from NARA is required to implement these provisions. If an agency wishes to apply a different retention period for any series of records included in the GRS, the records officer must submit an SF 115 providing justification for the deviation.

The GRS includes two indexes, an alphabetical Subject Index and an index of commonly used Standard and Optional Forms. The forms index includes only the forms most frequently used by the various Government agencies.

As provided in GRS 20, Electronic Records, the disposal instructions for most records in the remaining schedules are applicable to both hard copy and electronic versions of the records described. GRS 20 specifies several exceptions to this authority. In those cases, the electronic version of the file must be scheduled by submission of an SF 115 to NARA.

Questions of applicability of any GRS item to agency records or differences of interpretation between the records officer and other agency personnel that cannot be reconciled within the agency may be referred to the Director, Records Appraisal and Disposition Division, NARA, from offices in the Washington, DC, area, or the Director of the nearest Federal records center (FRC) from offices outside the Washington area.

Some records series covered by the GRS are eligible for retirement to an FRC. Records should be retired from agency space to an FRC only if transfer costs do not exceed the expense of retaining them in agency space. Records sent to FRCs should have a remaining retention of at least 1 year. If special circumstances, such as lack of filing equipment or space, make it imperative that records be retired, exceptions can be made to this policy. These decisions are made on an individual basis by the appropriate FRC Director. Procedures for transfer of records to FRCs are found in NARA regulations (36 CFR 1228.152).

GENERAL RECORDS SCHEDULE 1

Civilian Personnel Records

Agency civilian personnel records relate to the supervision over and management of Federal civilian employees. This schedule covers the disposition of Official Personnel Folders of civilian employees and other records relating to civilian personnel, wherever located in the agency. Specifically excluded are program records of the Office of Personnel Management, the Bureau of Medical Services (PHS/HHS), the Office of Workers' Compensation Programs (DOL), and the Equal Employment Opportunity Commission. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration for appraisal before these disposition instructions may be applied.

The most important types of records, the Official Personnel Folders, the Service Record Cards, and the Employee Medical Folders, are maintained according to The Guide to Personnel Recordkeeping, an OPM manual that prescribes a system of recordkeeping for Federal personnel.

Master files created in central data processing facilities that replace records described under items 21, 22, and 25f, are **not** authorized for disposal under the General Records Schedules. All of the records described in this schedule are authorized for disposal in both hard copy and electronic formats, as provided in GRS 20, Electronic Records.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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1.	<u>Official Personnel Folders.</u>	
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Records filed on the right side of the Official Personnel Folder (OPF). (See GRS 1, item 10, for temporary papers on the left side of the OPF). Folders covering employment terminated after December 31, 1920, excluding those selected by the National Archives and Records Administration for permanent retention.

a. Transferred employees.

See Chapter 7 of the Guide to Personnel Recordkeeping for instructions relating to folders of employees transferred to another agency.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
b.	Separated employees.	Transfer folder to National Personnel Records Center, St. Louis, MO, 30 days after latest separation [see note 2]. NPRC will destroy 65 years after separation from Federal service.

[NOTES: (1) OPF's covering periods of employment terminated prior to January 1, 1921, are not covered by this item. If an agency has such files, it should contact the NARA Records Appraisal and Disposition Division to request appraisal of the files. If NARA rejects the records, the disposition for GRS 1, item 1b applies. (2) Certain agencies have been exempted by OPM from retiring their OPF's to NPRC. These agencies retain OPF's for the period specified in item 1b of this schedule and effect destruction after that period has elapsed.]

2. Service Record Cards.

Service Record Card (Standard Form 7 or equivalent).

- | | | |
|----|--|--|
| a. | Cards for employees separated or transferred on or before December 31, 1947. | Transfer to NPRC (CPR), St. Louis, MO. Destroy 60 years after earliest personnel action. |
| b. | Cards for employees separated or transferred on or after January 1, 1948. | Destroy 3 years after separation or transfer of employee. |

[NOTE: Effective December 31, 1994, the SF 7 card became obsolete.]

3. Personnel Correspondence Files.

Correspondence, reports, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.

Destroy when 3 years old.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

4. Offers of Employment Files.

Correspondence, including letters and telegrams, offering appointments to potential employees.

a. Accepted offers.

Destroy when no longer needed.

b. Declined offers:

(1) When name is received from certificate of eligibles.

Return to OPM with reply and application.

(2) Temporary or excepted appointment.

File with application (see item 15 of this schedule).

(3) All others.

Destroy immediately.

5. Certificate of Eligibles Files.

Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible.

Destroy when 2 years old.

6. Employee Record Cards.

Employee record cards used for informational purposes outside personnel offices (such as SF 7B).

Destroy on separation or transfer of employee.

[NOTE: Effective December 31, 1994, the SF 7 card became obsolete. Agencies may use an internal agency form.]

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
7.	<u>Position Classification Files.</u>	
	a. Position Classification Standards Files.	
	(1) Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency.	Destroy when superseded or obsolete.
	(2) Correspondence and other records relating to the development of standards for classification of positions peculiar to the agency, and OPM approval or disapproval.	
	(a) Case file.	Destroy 5 years after position is abolished or description is superseded.
	(b) Review File.	Destroy when 2 years old.
	b. Position Descriptions.	
	Record copy of position descriptions that include information on title, series, grade, duties and responsibilities, and related documents.	Destroy 2 years after position is abolished or description superseded.
	c. Survey Files.	
	(1) Classification survey reports on various positions prepared by classification specialists, including periodic reports.	Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

(2) Inspection, audit, and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits, and evaluations.

Destroy when obsolete or superseded.

d. Appeals Files.

(1) Case files relating to classification appeals, excluding OPM classification certificate.

Destroy 3 years after case is closed.

(2) Certificates of classification issued by OPM.

Destroy after affected position is abolished or superseded.

8. Interview Records.

Correspondence, reports, and other records relating to interviews with employees.

Destroy 6 months after transfer or separation of employee.

9. Performance Rating Board Case Files.

Copies of case files forwarded to OPM relating to performance rating board reviews.

Destroy 1 year after case is closed.

10. Temporary Individual Employee Records.

All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of The Guide to Personnel Recordkeeping, EXCLUDING performance-related records.

Destroy upon separation or transfer of employee or when 1 year old, whichever is sooner. See item 23 of this schedule for disposition of temporary performance-related records.

11. Position Identification Strips.

Strips, such as the former SF 7D, containing summary data on each position occupied.

Destroy when superseded or obsolete.

[NOTE: Effective December 31, 1994, the SF 7D became obsolete.]

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

12. Employee Awards Files.

a. General awards records, EXCLUDING those relating to department-level awards.

- (1) Case files including recommendations, approved nominations, correspondence, reports, and related handbooks pertaining to agency-sponsored cash and noncash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.
- (2) Correspondence pertaining to awards from other Federal agencies or non-Federal organizations.

Destroy 2 years after approval or disapproval.

Destroy when 2 years old.

b. Length of service and sick leave awards files.

Records including correspondence, reports, computations of service and sick leave, and lists of awardees.

Destroy when 1 year old.

c. Letters of commendation and appreciation.

Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the OPF.

Destroy when 2 years old.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
d.	Lists or indexes to agency award nominations. Lists of nominees and winners and indexes of nominations.	Destroy when superseded or obsolete.

[NOTE: Records relating to department-level awards must be scheduled by submitting an SF 115, Request for Records Disposition Authority, to NARA.]

13. Incentive Awards Program Reports.

Reports pertaining to the operation of the Incentive Awards Program.

Destroy when 3 years old.

14. Notifications of Personnel Actions.

Standard Form 50, documenting all individual personnel actions such as employment, promotions, transfers, separation, exclusive of the copy in the OPF.

a. Chronological file copies, including fact sheets, maintained in personnel offices.

Destroy when 2 years old.

b. All other copies maintained in personnel offices.

Destroy when 1 year old.

15. Employment Applications.

Applications, including OF 612, resumes, and any other application that an agency may develop for unique jobs with specialized requirements, and related records, EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the OPF.

Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
16.	<u>Personnel Operations Statistical Reports.</u> Statistical reports in the operating personnel office and subordinate units relating to personnel.	Destroy when 2 years old.
17.	<u>Correspondence and Forms Files.</u> Operating personnel office records relating to individual employees not maintained in OPFs and not provided for elsewhere in this schedule.	
	a. Correspondence and forms relating to pending personnel actions.	Destroy when action is completed.
	b. Retention registers and related records.	
	(1) Registers and related records used to effect reduction-in-force actions.	Destroy when 2 years old.
	(2) Registers from which no reduction-in-force actions have been taken and related records.	Destroy when superseded or obsolete.
	c. All other correspondence and forms.	Destroy when 6 months old.
18.	<u>Supervisors' Personnel Files and Duplicate OPF Documentation.</u>	
	a. Supervisors' Personnel Files. Correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.	Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

b. Duplicate Documentation.

Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.

Destroy when 6 months old.

19. Individual Non-Occupational Health Record Files.

Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to Government health facilities, for nonwork-related purposes, EXCLUDING records covered by item 21 of this schedule.

Destroy 6 years after date of last entry.

20. Health Unit Control Files.

Logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units.

a. If information is summarized on statistical report.

Destroy 3 months after last entry.

b. If information is not summarized.

Destroy 2 years after last entry.

21. Employee Medical Folder (EMF).

a. Long-term medical records as defined in 5 CFR part 293, subpart E.

(1) Transferred employees.

See 5 CFR part 293, subpart E for instructions.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

(2) Separated employees.

Transfer to National Personnel Records Center (NPRC), St. Louis, MO, 30 days after separation. NPRC will destroy 75 years after birth date of employee; 60 years after date of the earliest document in the folder, if the date of birth cannot be ascertained; or 30 years after latest separation, whichever is later.

b. Temporary or short-term records as defined in the FPM.

Destroy 1 year after separation or transfer of employee.

c. Individual Employee Health Case Files created prior to establishment of the EMF system that have been retired to an FRC.

Destroy 60 years after retirement to FRC.

[NOTE: Master files and data bases created in central data processing facilities to supplement or replace the records covered by item 21 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

22. Statistical Summaries.

Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit.

Destroy 2 years after date of summary or report.

[NOTE: Master files and data bases created in central data processing facilities to supplement or replace the records covered by this item are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

23. Employee Performance File System
Records.

a. Non-SES appointees (as defined in 5
 USC 4301(2)).

(1) Appraisals of unacceptable
 performance, where a notice of
 proposed demotion or removal is
 issued but not effected and all
 related documents.

Destroy after the employee
completes 1 year of acceptable
performance from the date of the
written advance notice of
proposed removal or reduction-
in-grade notice.

(2) Performance records superseded
 through an administrative, judicial,
 or quasi-judicial procedure.

Destroy when superseded.

(3) Performance-related records
 pertaining to a former employee.

(a) Latest rating of record 3 years
 old or less, performance plan
 upon which it is based, and
 any summary rating.

Place records on left side of the
OPF and forward to gaining
Federal agency upon transfer or
to NPRC if employee separates
(see item 1b of this schedule).
An agency retrieving an OPF
from NPRC will dispose of these
documents in accordance with
item 23a(3)(b) of this schedule.

(b) All other performance plans
 and ratings.

Destroy when 4 years old or
when no longer needed,
whichever is sooner.

(4) All other summary performance
 appraisal records, including perfor-
 mance appraisals and job elements
 and standards upon which they
 are based.

Destroy 4 years after date of
appraisal.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

(5) Supporting documents.

Destroy 4 years after date of appraisal or when no longer needed, whichever is sooner.

b. SES appointees (as defined in 5 USC 3132a(2)).

(1) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Destroy when superseded.

(2) Performance-related records pertaining to a former SES appointee.

(a) Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating.

Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee leaves Federal service (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of those documents in accordance with item 23b(2)(b) of this schedule.

(b) All other performance ratings and plans.

Destroy when 5 years old, or when no longer needed, whichever is sooner.

(3) All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment (5 CFR 214).

Destroy 5 years after date of appraisal.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

(4) Supporting documents.

Destroy 5 years after date of appraisal or when no longer needed, whichever is sooner.

[NOTE: Performance records pertaining to Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an SF 115 to NARA.]

24. Financial Disclosure Reports.

a. Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (PL 95-521).

(1) Records including SF 278A for individuals filing according to Section 201b of the Act, and not subsequently confirmed by the U.S. Senate.

Destroy 1 year after nominee ceases to be under consideration for appointment; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

(2) All other records including SF 278.

Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

b. All other statements of employment and financial interests and related records, including confidential statements filed under Executive Order 11222.

Destroy when 6 years old EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

25. Equal Employment Opportunity Records.

a. Official Discrimination Complaint Case Files.

Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within the agency, by EEOC, or by a U.S. Court.

Destroy 4 years after resolution of case.

b. Copies of Complaint Case Files.

Duplicate case files or documents pertaining to case files retained in Official File Discrimination Complaint Case Files.

Destroy 1 year after resolution of case.

c. Preliminary and Background Files.

(1) Background records not filed in the Official Discrimination Complaint Case Files.

Destroy 2 years after final resolution of case.

(2) Records documenting complaints that do not develop into Official Discrimination Complaint Cases.

Destroy when 2 years old.

d. Compliance Records.

(1) Compliance Review Files.

Reviews, background documents, and correspondence relating to contractor employment practices.

Destroy when 7 years old.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	(2) EEO Compliance Reports.	Destroy when 3 years old.
e.	Employee Housing Requests.	
	Forms requesting agency assistance in housing matters, such as rental or purchase.	Destroy when 1 year old.
f.	Employment Statistics Files.	
	Employment statistics relating to race and sex.	Destroy when 5 years old.

[NOTE: Master files and data bases created in central data processing facilities to supplement or replace the records covered by this subitem are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

g.	EEO General Files.	
	General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation, and agency EEO Committee meeting records, including minutes and reports.	Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.
h.	EEO Affirmative Action Plans (AAP).	
	(1) Agency copy of consolidated AAP(s).	Destroy 5 years from date of plan.
	(2) Agency feeder plan to consolidated AAP(s).	Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.
	(3) Report of on-site reviews of Affirmative Action Programs.	Destroy 5 years from date of report.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

(4) Agency copy of annual report of Affirmative Action accomplishments.

Destroy 5 years from date of report.

26. Personnel Counseling Records.

a. Counseling Files.

Reports of interviews, analyses, and related records.

Destroy 3 years after termination of counseling.

b. Alcohol and Drug Abuse Program.

Records created in planning, coordinating, and directing an alcohol and drug abuse program.

Destroy when 3 years old.

27. Standards of Conduct Files.

Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct.

Destroy when obsolete or superseded.

28. Labor Management Relations Records.

a. Labor Management Relations General and Case Files.

Correspondence, memoranda, reports, and other records relating to the relationship between management and employee unions or other groups:

(1) Office negotiating agreement.

Destroy 5 years after expiration of agreement.

(2) Other offices.

Destroy when superseded or obsolete.

**ITEM
NO.**

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- b. Labor Arbitration General and Case Files.

Correspondence, forms, and background papers relating to labor arbitration cases.

Destroy 5 years after final resolution of case.

29. Training Records.

EXCLUDING records of formally established schools which train agency employees in specialized program areas, such as law enforcement and national defense.

- a. General file of agency-sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency.

- (1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences.

Destroy when 5 years old or 5 years after completion of a specific training program.

- (2) Background and working files.

Destroy when 3 years old.

- b. Employee training.

Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-government institutions.

Destroy when 5 years old or when superseded or obsolete, whichever is sooner.

[Note: Records excluded from this item must be scheduled by submission of an SF 115 to NARA. Reference copies of pamphlets, notices, catalogs and other records which provide information on courses or programs offered by Government or non-Government organizations, previously included in the GRS, are nonrecord and may be destroyed when superseded or obsolete.]

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

30. Administrative Grievance, Disciplinary, and
Adverse Action Files.

- a. Administrative Grievance Files (5 CFR
771).

Records relating to grievances raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.

Destroy no sooner than 4 years but no later than 7 years after case is closed. [See note.]

- b. Adverse Action Files (5 CFR 752) and
Performance-Based Actions (5 CFR
432).

Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF.

Destroy no sooner than 4 years but no later than 7 years after case is closed. [See note on next page.]

[NOTE: The Office of Personnel Management has determined that agencies may decide how long, within the range of 4 to 7 years, grievance and adverse action files need to be retained. To implement this authority, each agency must select one fixed retention period, between 4 and 7 years, for the entire series of its closed cases. Agencies are not authorized to use different retention periods for individual cases. The agency should publish the chosen retention period in the Privacy Act notice for these records, the agency's records disposition manual, and any other issuance dealing with the disposition of these records.]

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

31. Personal Injury Files.

Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.

Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff.

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.

33. Examining and Certification Records.

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

a. Delegated agreements.

Destroy 3 years after termination of agreement.

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

Cut off annually. Destroy 1 year after cut off.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
c.	Test material stock control. Stock control records of examination test material including running inventory of test material in stock.	Destroy when test is superseded or obsolete.
d.	Application Record Card (OPM Form 5000A, or equivalent).	Cut off after examination. Destroy no later than 90 days after cut off.
e.	Examination Announcement Case Files. Correspondence regarding examination requirements, original drafts of examination, and announcements issued EXCLUDING records concerning qualification standards, job specifications, and their development.	Destroy 5 years after termination of related register.
f.	Register of eligibles (OPM Form 5001-C or equivalent, documenting eligibility of an individual for Federal jobs).	Cut off records on individuals with terminated eligibility annually. Destroy 5 years after cutoff. When entire register is terminated, destroy 5 years after termination date. (Registers established under case examining: Destroy after audit by local OPM service center or 90 days after final action is taken on the certificate, whichever is sooner.)
g.	Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent).	Cut off annually. Destroy 1 year after cut off.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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| h. | Canceled and ineligible applications, supplemental forms, and attachments. | Ineligible applications may be returned to the applicant with the notice of ineligibility, unless otherwise directed by the local OPM area office. Destroy ineligible applications not returned and canceled applications 90 days after date of action or when register is terminated, whichever is sooner. |
| | | |
| i. | Test Answer Sheets.

Written test answer sheets for both eligibles and ineligibles. Filed by date of processing. | Destroy when 6 months old. |
| | | |
| j. | Lost or Exposed Test Material Case Files.

Records showing the circumstances of loss, nature of the recovery action, and corrective action required. | Cut off files annually. Destroy 5 years after cut off. |
| | | |
| k. | Eligible applications. | |
| (1) | On active register. | Destroy upon termination of the register (except applications that may be brought forward to new register, if any). |
| (2) | On inactive register. | Destroy 1-12 months after eligibles are placed on inactive register, depending on space availability and difficulty of replacing the application for restoration. |

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
i.	Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF 59, OPM 648, or equivalent form.	Cut off annually. Destroy 1 year after cut off.
m.	Certificate Files. SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: detailed rating schedule, record of selective and quality ranking factors used, list of eligibles screened for the vacancies, rating assigned, availability statements, and other documentation material designated by the examiner of retention. It is recommended that both the file copy and the audited report copy of the certificate be kept in this file. Files should be arranged to permit reconstruction or validation of actions taken in the event of appeal or legal action.	Cut off annually. Destroy 5 years after cut off.
n.	Certification request control index.	Cut off annually. Destroy 1 year after cut off.
o.	Interagency Placement Program (IPP) application and registration sheet.	Destroy upon expiration of employee's DEP eligibility.
p.	DEP control cards, if maintained.	Cut off annually. Destroy 2 years after cut off.
q.	Reports of audits of delegated examining operations.	Destroy 3 years after date of the report.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

34. Occupational Injury and Illness Files.

Reports and logs (including OSHA Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment.

Destroy when 5 years old.

35. Denied Health Benefits Requests Under Spouse Equity.

Denied eligibility files consisting of applications, court orders, denial letters, appeal letters, and related papers. [See note on next page.]

a. Health benefits denied, not appealed.

Destroy 3 years after denial.

b. Health benefits denied, appealed to OPM for reconsideration.

(1) Appeal successful - benefits granted.

Create enrollment file in accordance with Subchapter S17 of the FEHB Handbook.

(2) Appeal unsuccessful - benefits denied.

Destroy 3 years after denial.

[Note: Pursuant to Subchapter S17 of the FEHB Handbook enrollment files of spouses eligible for benefits are transferred to OPM when former spouse cancels the enrollment, when enrollment is terminated by the employing office, or when former spouse begins receiving an annuity payment.]

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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36.	<u>Federal Workplace Drug Testing Program Files.</u>	
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Drug testing program records created under Executive Order 12564 and Public Law 100-71, Section 503 (101 Stat. 468), EXCLUDING consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Public Law 100-71, § 503(f).

This authorization does not apply to oversight program records of the Department of Health and Human Services, the Office of Personnel Management, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice.

- a. Drug test plans and procedures, EXCLUDING documents that are filed in record sets of formal issuances (directives, procedures handbooks, operating manuals, and the like.)

Agency copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions.

Destroy when 3 years old or when superseded, obsolete, or no longer needed, whichever is later. [See note (2).]

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- b. Employee acknowledgement of notice forms.

Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested.

Destroy when employee separates from testing-designated position. [See note (2).]

- c. Selection/scheduling records.

Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists of selectees, notification letters, and testing schedules.

Destroy when 3 years old. [See note (2).]

- d. Records relating to the collection and handling of specimens.

- (1) "Permanent" Record Books.

Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.

Destroy 3 years after date of last entry. [See note (2).]

- (2) Chain of custody records.

Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen.

Destroy when 3 years old. [See note (2).]

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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e. Test results.

Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.

(1) Positive results.

Disposition not authorized.

(2) Negative results.

Destroy when 3 years old.

[NOTES: (1) Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by GRS 1, item 30b, which authorizes destruction of records between 4 and 7 years after the case is closed. (2) Any records covered by items 36 a-e that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s).]

37. Donated Leave Program Case Files.

Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donation records or OF 630-A, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records.

Beginning in January 1994, destroy 1 year after the end of the year in which the file is closed.

38. Wage Survey Files.

Wage survey reports and data, background documents and correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).

Destroy after completion of second succeeding wage survey.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

39. Retirement Assistance Files.

Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits.

Destroy when 1 year old.

40. Handicapped Individuals Appointment Case Files.

Case files containing position title and description; fully executed SF 171; medical examiner's report; a brief statement explaining accommodation of impairment; and other documents related to previous appointment, certification, and/or acceptance or refusal, created in accordance with Federal Personnel Manual, chapter 306-11, subchapter 4-2.

Destroy 5 years following the date of approval or disapproval of each case.

41. Pay Comparability Records.

Written narratives and computerized transaction registers documenting use of retention, relocation and recruitment bonuses, allowances, and supervisory differentials under Federal Employees Pay Comparability Act.

Destroy after 3 subsequent reports have been filed.

GENERAL RECORDS SCHEDULE 2

Payrolling and Pay Administration Records

Payrolling and pay administration records pertain to disbursements to civilian employees of the Government for personal services. This schedule applies to the pay records that are common to all agencies, but it excludes (a) retirement records (Standard Form 2806 or equivalent) that are maintained during employee duty and then transferred to the Office of Personnel Management; (b) files maintained in agency space for audit by the General Accounting Office under 31 U.S.C. 3529(c); (c) records relating to tax withholding, savings bonds, fidelity bonds, or other records held by the appropriate units of the Treasury Department responsible for the related Government-wide programs; and (d) Office of Management and Budget files reflecting agency personnel needs and problems. NARA must be consulted for any records created prior to January 1, 1921 before applying these disposition instructions.

Documents required by the Comptroller General to be maintained for site audit are segments of accountable officer's accounts. In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office unless the agency concerned has written approval of the Comptroller General, as required by 44 U.S.C. 3309. Most Federal civilian pay accounts are prepared and maintained in accordance with Title 6 - Pay, Leave, and Allowances and incorporated in the GAO Policy and Procedures Manual for Guidance of Federal Agencies.

In the payrolling process different types of records are accumulated. Under Title 6 of the GAO Manual these records are normally site-audited on a sample basis by GAO representatives who examine primarily the earnings record card, payroll change slips that are prepared to document changes in normal pay, certification sheets containing the signatures of the certifying officer, checklists prepared in lieu of the more formal payrolls by Department of the Treasury or local disbursing personnel, source personnel documents such as basic time and attendance reports, and copies of personnel action forms documenting changes in pay. In addition, pay registers and other accounting devices are maintained to check and balance the accounts.

All payroll systems require the maintenance of a leave record used to submit data to the payroll system. Information is posted to this record from more detailed records kept by time and attendance clerks located throughout an agency. Depending on the type of system in operation, this leave record may be a hard-copy input form or it may be a wholly electronic input.

Other records incidental to the payrolling process are employee requests for tax withholding; employee requests for Thrift Savings Plan deductions; savings bond records; and

other records not pertaining to individuals, but rather to the general administration of the payrolling office and the payrolling function.

ITEM

NO. DESCRIPTION OF RECORDS AUTHORIZED DISPOSITION

Payroll

1. Individual employee pay record.

a. Pay record for each employee as maintained in an electronic data base. This database may be a stand-alone payroll system or part of a combined personnel/payroll system.

Update elements and/or entire record as required.

b. Individual Pay Record, containing pay data on each employee within an agency. This record may be in paper or microform but not in machine readable form.

Transfer to National Personnel Records Center. Destroy when 56 years old.

2. Non-current payroll files.

Copy of noncurrent payroll data as maintained by payroll service bureaus in either microform or machine-readable form.

Destroy 15 years after close of pay year in which generated.

Items 3 through 5. Reserved.

Time and Attendance

6. Leave application files.

SF 71 or equivalent plus any supporting documentation of requests and approvals of leave.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	a. If employee initials time card or equivalent.	Destroy at end of following pay period.
	b. If employee has not initialed time card or equivalent.	Destroy after GAO audit or when 3 years old, whichever is sooner.
7.	<u>Time and attendance source records.</u> All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards (such as OF 1130); flexitime records; leave applications for jury and military duty; and authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Records may be in either machine-readable or paper form.	Destroy after GAO audit or when 6 years old, whichever is sooner.
8.	<u>Time and attendance input records.</u> Records in either paper or machine readable form used to input time and attendance data into a payroll system, maintained either by agency or payroll processor.	Destroy after GAO audit or when 6 years old, whichever is sooner.
9.	<u>Leave record.</u> a. Record of employee leave, such as SF 1150, prepared upon transfer or separation.	File on right side of OPF. See GRS 1, item 1.
	b. Creating agency copy, when maintained.	Destroy when 3 years old.

Items 10 through 12. Reserved.

ITEM

NO. DESCRIPTION OF RECORDS AUTHORIZED DISPOSITION

Deductions, Allotments, and Electronic Funds Transfers

13. Tax files.

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| a. | Employee withholding allowance certificate such as IRS Form W-4 and state equivalents. | Destroy 4 years after superseded or obsolete or upon separation of employee. |
| b. | Agency copy of employee wages and tax statements, such as IRS Form W-2 and state equivalents, maintained by agency or payroll processor. | Destroy when 4 years old. |
| c. | Agency copy of employer reports of Federal tax withheld, such as IRS Form W-3, with related papers including reports relating to income and social security tax, and state equivalents, maintained by agency or payroll processor. | Destroy when 4 years old. |

14. Savings Bond Purchase files.

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|----|--|--|
| a. | U.S. Savings Bond Authorization, SF 1192 or equivalent. | Destroy when superseded or after separation of employee. |
| b. | Bond registration files: issuing agent's copies of bond registration stubs. | Destroy 4 months after date of issuance of bond. |
| c. | Bond receipt and transmittal files: receipts for and transmittals of U.S. Savings Bonds. | Destroy 4 months after date of issuance of bond. |

15. Combined Federal Campaign and other allotment authorizations.

- | | | |
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| a. | Authorization for individual allotment to the Combined Federal Campaign. | Destroy after GAO audit or when 3 years old, whichever is sooner. |
|----|--|---|

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Other authorizations, such as union dues and savings.	Destroy after GAO audit or when 3 years old, whichever is sooner.
16.	<u>Thrift Savings Plan Election Form.</u> Form TSP-1 authorizing deduction of employee contribution to the Thrift Savings Plan.	Destroy when superseded or after separation of employee.
17.	<u>Direct Deposit Sign-up Form (SF 1199A).</u>	Destroy when superseded or after separation.
18.	<u>Levy and Garnishment Files.</u> Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, work papers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back income taxes or other debts of Federal employees.	Destroy 3 years after garnishment is terminated.

Items 19 through 21. Reserved.

Payroll Administration

22.	<u>Payroll system reports.</u>	
	a. Error reports, ticklers, system operation reports.	Destroy when related actions are completed or when no longer needed, not to exceed 2 years.
	b. Reports and data used for agency workload and or personnel management purposes.	Destroy when 2 years old.
	c. Reports providing fiscal information on agency payroll.	Destroy after GAO audit or when 3 years old, whichever is sooner.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

23. Payroll change files.

Records used to direct a change or correction of an individual pay transaction whether created and maintained by paying agency or payroll processor.

a. Copies subject to GAO audit.

Destroy after GAO audit or when 3 years old, whichever is sooner.

b. All other copies.

Destroy 1 month after end of related pay period.

24. Payroll correspondence.

Correspondence between agency and payroll processor regarding general, routine administrative issues that do not relate to individual payments.

Destroy when 2 years old.

Items 25 through 27. Reserved.

Retirement

28. Retirement files.

Reports, registers, or other control documents, and other records relating to retirement, such as SF 2807 or equivalent.

For CSRS/FERS related records, destroy upon receipt of official OPM acceptance of annual summary.

GENERAL RECORDS SCHEDULE 3

Procurement, Supply and Grant Records

Agency procurement and supply records document the acquisition of goods and non-personal services, controlling the volume of stock on hand, reporting procurement needs, and related supply matters which are part of daily procurement operations. The basic procurement files reflect a considerable range of procedure, from simple, small purchases to complicated prime contractor and subcontractor operations.

Any records created prior to 1895 must first be offered to the National Archives and Records Administration for appraisal before applying the disposal instructions. Frequently copies of procurement papers become integral parts of the other files in the agency, such as project files of various types or general subject files pertaining to program operations; such copies are not covered by this schedule because they cannot be considered and evaluated separately from the files of which they are a part.

The General Accounting Office no longer requires agencies to maintain a separate file of contracts for site audit. The agency contract files maintained in the contracting officer's office are accessible to GAO auditors and have generally been used by them in the past.

When a claim is filed by or against the Government, records relating to the claim should be retained without regard to the otherwise applicable records retention schedules which would have authorized destruction of the records prior to the time when the claim is finally resolved unless the agency has received written approval from the General Accounting Office (44 U.S.C. Section 3309 and 62 Comp. Gen. 42 (1982)). A claim is finally resolved: (1) when it is disallowed and the time for appealing the denial or instituting suit on the claim has expired; or (2) when it is allowed and paid or the amount offered in compromise is accepted and paid; or (3) when the amount found due and owing proves uncollectible because time limits for collecting the indebtedness through legal proceedings or by way of setoff have expired.

Records documenting procurement and supply in the agencies are largely standardized by various regulations of the Comptroller General and the Administrator of General Services. The physical arrangement of the transaction files themselves differs in the various agencies, however. In all agencies the official contract files, for example, contain a minimum core of specified documents, but there are also other documents that vary in accordance with what the individual agency deems to be best for its own operating purposes.

The key procurement file is the transaction case file containing the formal contract or informal purchase order or lease instruments and all related papers. The documents

flowing into the transaction file differ in detail, but they include, in addition to the purchase document, specifications, bids, schedules of delivery, the initiating requisition, invoices, and correspondence. Other copies of these documents, made for expediting and other administrative purposes, are scattered throughout the inspection, shipping, expediting, and other units of the agency procurement organization.

Other files related to the procurement and supply function include reports used for supply management purposes by the agency creating the records as well as the staff agency involved with Governmentwide programs. They also include local requisition and stock inventory files and other minor supply papers. Of a specialized character in the procurement field are the title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise). These papers are required by the Government as long as the property remains in Government hands or if it has been sold or released -- conditionally or with recapture clauses. When properties are disposed of by quitclaim deeds, this fact should be confirmed prior to the disposal of title papers, since the title evidence might be needed by the Government to defend the title in the event the properties were disposed of by deeds containing general or special warranties.

It should also be ascertained that the title evidence relates only to the properties which were sold by the Government. In many instances, lands acquired by the Government are disposed of in different size parcels, and if the Government retains the title to any portion the title evidence should be retained.

This schedule does not apply to Interior Department records relating to the public domain or to the title opinion files of the Department of Justice.

This schedule includes some of the common agency records relating to grant programs. Since many Federal agencies conduct grant programs which document projects contracted between the agency and an outside party, these records are included as an adjunct to the procurement and supply records.

All records described in this schedule are authorized for disposal in both hard-copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

3. Routine Procurement Files.

Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in items 1 and 12). [See note on following page.]

a. Procurement or purchase organization copy, and related papers.

(1) Transactions of more than \$25,000 and all construction contracts exceeding \$2,000.

Destroy 6 years and 3 months after final payment.

(2) Transactions of \$25,000 or less and construction contracts under \$2,000.

Destroy 3 years after final payment.

b. Obligation copy.

Destroy when funds are obligated.

c. Other copies of records described above used by component elements of a procurement office for administrative purposes.

Destroy upon termination or completion.

d. Data Submitted to the Federal Procurement Data System (FPDS). Electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS.

Destroy or delete when 5 years old.

[NOTE: Unique procurement files, previously described in GRS 3, item 1, are not covered by this schedule. With the standardization of the Governmentwide procurement process under the Federal Acquisition Regulations, such files are unlikely to exist. However, if an agency believes that a procurement file that has long-term research value, the records officer should submit an SF 115.]

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
4.	<u>Supply Management Files.</u> Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature), exclusive of Department of Defense Reports reflecting procurement under exemptions authorized under Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 481).	
	a. Copies received from other units for internal purposes or for transmission to staff agencies.	Destroy when 2 years old.
	b. Copies in other reporting units and related working documents.	Destroy when 1 year old.
5.	<u>Solicited and Unsolicited Bids and Proposals Files.</u>	
	a. Successful bids and proposals.	Destroy with related contract case files (see item 3 of this schedule).

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- b. Solicited and unsolicited unsuccessful bids and proposals.
 - (1) Relating to small purchases as defined in the Federal Acquisition Regulation, 48 CFR Part 13. Destroy 1 year after date of award or final payment, whichever is later.
 - (2) Relating to transactions above the small purchase limitations in 48 CFR Part 13.
 - (a) When filed separately from contract case files. Destroy when related contract is completed.
 - (b) When filed with contract case files. Destroy with related contract case file (see item 3 of this schedule).
- c. Canceled solicitations files.
 - (1) Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were canceled prior to award of a contract. The files include presolicitation documentation on the requirement, any offers that were opened prior to the cancellation, documentation on any Government action up to the time of cancellation, and evidence of the cancellation. Destroy 5 years after date of cancellation.
 - (2) Unopened bids. Return to bidder.
- d. Lists or card files of acceptable bidders. Destroy when superseded or obsolete.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
6.	<u>Public Printer Files.</u> Records relating to requisitions on the Printer, and all supporting papers. a. Printing procurement unit copy of requisition, invoice, specifications, and related papers. b. Accounting copy of requisition.	 Destroy 3 years after completion or cancellation of requisition. Destroy 3 years after period covered by related account.
7.	<u>Nonpersonal Requisition File.</u> Requisitions for nonpersonal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts (Schedule 6).	 Destroy when 1 year old.
8.	<u>Inventory Requisition File.</u> Requisitions for supplies and equipment for current inventory. a. Stockroom copy. b. All other copies.	 Destroy 2 years after completion or cancellation of requisition. Destroy when 6 months old.
9.	<u>Inventory Files.</u> a. Inventory lists.	 Destroy 2 years from date of list.

ITEM	<u>NO.</u> <u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Inventory cards.	Destroy 2 years after discontinuance of item, 2 years after stock balance is transferred to new card or recorded under a new classification, or 2 years after equipment is removed from agency control.
	c. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the GRS.	Destroy 2 years after date of survey action or date of posting medium.10. <u>Telephone Records.</u>
	Telephone statements and toll slips.	Destroy 3 years after period covered by related account.
11.	<u>Contractors' Payroll Files.</u>	
	Contractors' payrolls (construction contracts) submitted in accordance with Labor Department regulations, with related certifications, antikickback affidavits, and other related papers.	Destroy 3 years after date of completion of contract unless contract performance is subject of enforcement action on such date.
12.	<u>Tax Exemption Files.</u>	
	Tax exemption certificates and related papers.	Destroy 3 years after period covered by related account.
13.	<u>Unsuccessful Grant Application Files.</u>	
	Applications, correspondence, and other records relating to unsuccessful rejected or withdrawn) applications.	Destroy 3 years after rejection or withdrawal.

ITEM

NO. DESCRIPTION OF RECORDS AUTHORIZED DISPOSITION

14. Grant Administrative Files.

Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.

Destroy when 2 years old.

[Note: Grant case files, which include accepted applications among many other documents, substantive correspondence and subject files relating to grant programs, and final product files, cannot be scheduled in the GRS. The types and significance of grant programs and the contents of the files vary, so no single disposition can be applied to the files on a Governmentwide basis. To schedule these records, agencies must submit an SF 115 to NARA.]

15. Contract Appeals Case Files.

Contract appeals case files arising under the Contracts Dispute Act, consisting of notices of appeal and acknowledgements thereof; correspondence between parties; copies of contracts, plans, specifications, exhibits, change orders, and amendments; transcripts of hearings; documents received from parties concerned; final decisions; and all other related papers.

a. Records created prior to October 1, 1979.

Destroy 6 years, 3 months after final action on decision.

b. Records created after September 30, 1979.

Destroy 1 year after final action on decision.

ITEM	<u>NO.</u> <u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
16.	<u>Contractor's Statement of Contingent or Other Fees.</u> Standard Form 119, Contractor's Statement of Contingent or Other Fees, or statement in lieu of the form, filed separately from the contract case file and maintained for enforcement or report purposes.	Destroy when superseded, obsolete, or no longer needed, whichever is sooner.
17.	<u>Small and Disadvantaged Business Utilization Files.</u> Correspondence, reports, studies, goal statements, and other records relating to the small and disadvantaged business utilization program, as required by P.L. 95-507.	Destroy when 3 years old.

GENERAL RECORDS SCHEDULE 4

Property Disposal Records

These records pertain to the sales by agencies of real and personal property surplus to the needs of the Government. The act creating the General Services Administration transferred to the new agency the functions of the former War Assets Administration relating to property disposition. This schedule is not applicable to transaction or policy files created by the General Services Administration and predecessor agencies, to records in the Department of the Interior relating to the public domain, and to records relating to overseas property under Department of State control. Any surplus property transaction files dated prior to the establishment of the former Procurement Division of the Department of Treasury in 1933 must be offered to the National Archives and Records Administration for appraisal before applying these disposition instructions.

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by 44 U.S.C. 3309.

Three forms are prescribed for use by an agency selling surplus personal property under GSA regulations:

a. Standard Form 114, Sale of Government Property, Invitation, and Bid, and Acceptance. Related papers that are maintained by the agencies, usually in case fashion, consist of correspondence, bids, other notices of sale, invoices, and sales slips.

b. Standard Forms 120, Report of Excess Personal Property, and 121, Quarterly Report of Utilization and Disposal of Excess and Surplus Personal Property. Agencies use SF 120 to report excess personal property to the regional General Services Administration offices, which initiate screening action. The quarterly reports are submitted to the Office of Property Management, Office of Federal Supply and Services, General Services Administration, which consolidates the data.

All records described in this schedule are authorized for disposal in both hard-copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Property Disposal Correspondence Files.</u> Correspondence files maintained by units responsible for property disposal, pertaining to their operation and administration, and not otherwise provided for.	Destroy when 2 years old.
2.	<u>Excess Personal property Reports.</u>	Destroy when 3 years old.
3.	<u>Surplus Property Case Files.</u> Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence. a. Transactions of more than \$25,000. b. Transactions of \$25,000 or less.	Destroy 6 years after final payment. Destroy 3 years after final payment.
4.	<u>Real Property Files.</u> Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, including, if pertinent as determined by the releasing agency, site maps and surveys, plot plans, architect's sketches, working diagrams, preliminary drawings, blueprints, master tracings, utility outlet plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists, and duplicate copies of title papers, provided (a) that the records can be segregated without harm	Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

to other documents of enduring value, (b) that no responsibility attaches to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance, and (c) that if the property is released for historical use or purpose the user agrees to retain them and return them to the Federal Government immediately upon the discontinuance of its use for historical purposes.

[Note: Case files on the disposal of surplus real and related personal property and excess real property reports are not covered by the GRS because some of these files may have long-term legal value. Agencies must schedule these series by submitting an SF 115 to NARA.]

GENERAL RECORDS SCHEDULE 5

Budget Preparation, Presentation, and Apportionment Records

Budget and apportionment records include the various files accumulated in an agency in the course of formulating its budget for submission to the Office of Management and Budget (OMB) and to the Congress; in defending its requests for funds before both bodies; and after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. The funds are made available to the agency by OMB, usually in quarterly portions, and the agencies must indicate and justify regularly to OMB their proposed rate of expenditure. After the funds have been made available to the agency, its own controls over the funds are in its expenditure accounting records (Schedule 7), and detailed information relative to expenditures is contained in the accountable officers' accounts (Schedule 6).

This schedule applies to certain records of budget preparation and apportionment in all agencies, but does not apply to records of OMB and the Treasury Department reflecting the Governmentwide budget responsibilities of those agencies. Records created prior to January 1, 1921, must be offered to the National Archives and Records Administration before applying the disposition instructions.

Agency budget records are normally created at all levels of agency organization. They show proposals from all operating levels as well as the bureau-wide and agencywide coordinating work done by formally organized budget offices. Therefore the records consist of detailed workpapers and budgetary statements developed by single operating units, the more significant budget statements and related papers representing consolidated submissions prepared at the bureau or equivalent level and forwarded to the agency budget officer, and the records at the highest level pertaining to the budget submission for the entire agency.

The nature of the budget presentation itself is standardized by OMB which prescribes format and procedures for all Federal agencies. However, the internal reports and papers which support the budget and are used in its preparation vary from agency to agency. The budget submission, a record copy of which is usually designated by the agency, is a duplicate of the set of papers submitted to OMB. These include summary statements of appropriations and expenditures, statements of contract authorizations, and statements of receipts as well as narrative summary statements which highlight the principal features of the agency requests and immediately related supporting documents. The narrative presents the policies and the programs of the agency which the budgetary requests are to support. In addition to the summaries, the submission includes schedules of obligations and statements pertaining to each type of appropriation and fund under which the individual agency operates. Finally, OMB requires additional supporting data pertaining to objects of expenditure, particular agency programs, and figures based on the cost of various type of service operations, such as personnel and payrolling activities.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Budget Correspondence Files.</u> Correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule, EXCLUDING files relating to agency policy and procedure maintained in formally organized budget offices.	Destroy when 2 years old.
2.	<u>Budget Background Records.</u> Cost statements, rough data and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget offices.	Destroy 1 year after the close of the fiscal year covered by the budget.
3.	<u>Budget Reports Files.</u> Periodic reports on the status of appropriation accounts and apportionment.	
	a. Annual report (end of fiscal year).	Destroy when 5 years old.
	b. All other reports.	Destroy 3 years after the end of the fiscal year.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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4.	<u>Budget Apportionment Files.</u>	
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Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.

Destroy 2 years after the close of the fiscal year.

[Note: The following budget files are not covered by the GRS:

--Budget office correspondence or subject files documenting budget policy and procedures and reflecting policy decisions affecting expenditures for agency programs.

--Budget estimates and justifications of formally organized budget offices at the bureau (or equivalent) or higher organizational level. Depending on agency recordkeeping practices and patterns of documentation, these records may have archival value and must be scheduled by submitting an SF 115 to NARA.]

GENERAL RECORDS SCHEDULE 6

Accountable Officers' Accounts Records

This general schedule covers accountable officers' returns and related records, including records under the cognizance of the General Accounting Office (GAO). This schedule does not apply to the copies of schedules and related papers held by the Chief Disbursing Officer of the Treasury. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration before applying these disposition instructions.

Accountable officers' accounts include record copies of all records concerned with the accounting for, availability, and status of public funds. There are several types of "accountable officers," such as: (a) the collecting officer, who receives monies owed to the Federal Government and ensures that it is credited to the proper account; (b) the disbursing officer who is responsible for providing documentation to GAO since he/she accomplishes the actual payment of public monies to proper Federal creditors; and (c) the certifying officer, whose signature on a summary attests to the authenticity of vouchers listed on the schedule.

Disbursements for most civilian Government agencies are made by the Chief Disbursing Officer of the Treasury, who heads the Division of Disbursement of the Bureau of Government Financial Operations within the Treasury Department. Since July 1949, disbursements have been made for most agencies on the basis of certified schedules, with the detailed vouchers transferred to GAO from the agency or held in agency space if a site audit was involved. This procedure was extended and confirmed by GAO General Regulations, No. 115 issued January 29, 1952, which promulgated a standard form voucher and schedule of payments (Standard Forms 1166 and 1167) for use by all agencies, effective July 1, 1952, and formally eliminated the transfer of vouchers of the Chief Disbursing Officer.

This schedule includes records held for onsite audit by GAO, as described in item 1a below. Under onsite audit, vouchers, contracts, schedules, statements of transactions and accountability, and other related supporting documents are retained in agency space for GAO auditors. Section 5 of the Post Office Department Financial Control Act of 1950 and Section 117(b) of the Budget and Accounting Procedures Act of 1950 (whenever the Comptroller General determines that an audit shall be conducted at the site) require agencies to retain these records, which are under GAO cognizance. GAO has given general authority to the agencies, if the records are no longer required for administrative purposes, to transfer all audited records and any unaudited records more than 1 full fiscal year old to Federal records centers. However, to transfer unaudited accountable officers' accounts less than one year old, permission must be obtained from the Director, Records Management, GAO. Because the records previously transferred to GAO are retained in

the agency, some agencies have eliminated the creation of memorandum copies as described in item 1b of this schedule.

Records relating to the availability, collection, and custody of funds include (1) the appropriation warrants, (2) other documents that deposit funds into the Treasury, and (3) documents that provide accountable officers with status reports on funds in their custody, such as the proofs of 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 Treasury Department are not covered by this schedule and are provided for in separate schedules.

All records described in this schedule are authorized for disposal in both hard-copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

1. Accountable Officers' Files.

- 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

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

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
SF 1098	Schedule of Canceled Checks	
SF 1113	Public Voucher for Transportation Charges	
SF 1129	Reimbursement Voucher	
SF 1143	Advertising Order	
SF 1145	Voucher for Payment Under Federal Tort Claims Act	
SF 1154	Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee	
SF 1156	Public Voucher for Fees and Mileage	
SF 1164	Claim for Reimbursement for Expenditures on Official Business	
SF 1166	Voucher and Schedule of Payments	
SF 1185	Schedule of Undeliverable Checks for Credit to Government Agencies SF 1218, Statement of Accountability (Foreign Service Account)	
SF 1219	Statement of Accountability	
SF 1220	Statement of Transactions According to Appropriation, Funds, and Receipt Accounts	
SF 1221	Statement of Transactions According to Appropriation, Funds, and Receipt Accounts (Foreign Service Account)	
OF 1114	Bill of Collection	
OF 1114A	Official Receipt	
OF 1114B	Collection Voucher	

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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| b. | Memorandum copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related documents not covered elsewhere in this schedule, EXCLUDING freight records covered by Schedule 9 and payroll records covered by Schedule 2. | Destroy when 1 year old. |
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[NOTE: Accounts and supporting documents pertaining to American Indians are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Government's role as trustee of property held by the Government and managed for the benefit of Indians.]

2. GAO Exceptions Files.

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| | General Accounting Office notices of exceptions, such as Standard Form 1100, formal or informal, and related correspondence. | Destroy 1 year after exception has been reported as cleared by GAO. |
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3. Certificates Settlement Files.

Copies of certificates and settlement of accounts of accountable officers, statements of differences, and related records.

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| a. | Certificates covering closed account settlements, supplemental settlements, and final balance settlements. | Destroy 2 years after date of settlement. |
| b. | Certificates covering period settlements. | Destroy when subsequent certificate of settlement is received. |

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
4.	<u>General Fund Files.</u> Records relating to availability, collection, custody, and deposit of funds including appropriation warrants and certificates of deposit, other than those records covered by Item 1 of this schedule.	Destroy when 3 years old.
5.	<u>Accounting Administrative Files.</u> Correspondence, reports, and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.	
	a. Files used for workload and personnel management purposes.	Destroy when 2 years old.
	b. All other files.	Destroy when 3 years old.
6.	<u>Federal Personnel Surety Bond Files.</u>	
	a. Official copies of bond and attached powers of attorney.	
	(1) Bonds purchased before January 1, 1956.	Destroy 15 years after bond becomes inactive.
	(2) Bonds purchased after December 31, 1955.	Destroy 15 years after end of bond premium period.
	b. Other bond files including other copies of bonds and related documents.	Destroy when bond becomes inactive or after the end of the bond premium period.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

7. Gasoline Sales Tickets.

Hard copies of sales tickets filed in support of paid vouchers for credit card purchases of gasoline.

Destroy after GAO audit or when 3 years old, whichever is sooner.

8. Telephone Toll Tickets.

Originals and copies of toll tickets filed in support of telephone toll call payments.

Destroy after GAO audit or when 3 years old, whichever is sooner.

9. Telegrams.

Originals and copies of telegrams filed in support of telegraph bills.

Destroy after GAO audit or when 3 years old, whichever is sooner.

10. Administrative Claims Files.

- a. Claims against the United States. Records relating to claims against the United States for moneys that have been administratively (1) disallowed in full or (2) allowed in full or in part, and final payment of the amount awarded, EXCLUDING claims covered by subitem c. below.

- b. Claims by the United States subject to the Federal Claims Collection Standards and 28 U.S.C. 2415 or 31 U.S.C. 3716(c)(1).

Destroy when 6 years, 3 months old.

Records relating to claims for money or property that were administratively determined to be due and owing to the United States and that are subject to the Federal Claims Collection Standards (4 CFR Chapter II), EXCLUDING claims covered under subitem c. below.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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| (1) Claims which were paid in full or by means of a compromise agreement pursuant to 4 CFR Part 103. | Destroy when 6 years, 3 months old. |
| (2) Claims for which collection action has been terminated under 4 CFR Part 104. | Destroy 10 years, 3 months after the year in which the Government's right to collect first accrued. |
| (a) Claims for which the Government's right to collect was not extended. | Destroy 3 months after the end of the extended period. |
| (b) Claims for which the Government is entitled (per 28 U.S.C. 2415) to additional time to initiate legal action. | Destroy when 6 years, 3 months old. |
| (3) Claims that the agency administratively determines are not owed to the United States after collection action was initiated. | Destroy when the court order is lifted, litigation is concluded, or when 6 years, 3 months old, whichever is later. |
| c. Claims files that are affected by a court order or that are subject to litigation proceedings. | Destroy when the court order is lifted, litigation is concluded, or when 6 years, 3 months old, whichever is later. |

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

11. Waiver of Claims Files.

Records relating to waiver of claims of the United States against a person arising out of an erroneous payment of pay allowances, travel expenses, or relocation expenses to an employee of an agency or a member or former member of the uniformed services or the National Guard, including bills of collection, requests for waiver of claim, investigative reports, decisions by agency and/or GAO approving or denying the waiver, and related records.

- a. Approved waivers (agencies may approve amounts not aggregating to more than \$500 or GAO may approve any amount).
- b. Denied waivers.

Destroy 6 years, 3 months after the close of the fiscal year in which the waiver was approved.

Destroy with related claims files in accordance with items 10b. and 10c. of this schedule.

GENERAL RECORDS SCHEDULE 7

Expenditure Accounting Records

Expenditure accounting records are the ledgers and related documents maintained by all Federal agencies to show in summary fashion how their funds, appropriated and nonappropriated, are spent after allotment by the Office of Management and Budget (OMB), and the sources and nature of any receipts. The key records are the general ledger accounts, which constitute, as a unit, the heart of the agency accounting system. These ledgers summarize the financial status and financial transactions of the agency, showing the current status of funds available for expenditure, the amounts due and collected for the account of the Government, accumulated expenditures and liabilities, and the values of stock, equipment, and other property in agency custody. They are controls that serve not only as central fiscal records, but also as a primary source of data for top management concerned with agency solvency, expenditures, and program costs.

The general ledgers are subdivided into arbitrarily created account titles, which are based on programs, projects, costs, and funds. Supporting them are a group of subsidiary ledgers and documents further detailing the information in the general ledgers or serving as posting media to the ledgers themselves. To the extent that they reflect appropriation expenditures, the general ledgers are supported by allotment ledgers, which at all times show the current unobligated balance of funds allotted for specific agency purposes and thereby provide a safeguard against overexpenditure by operating officials. The allotment ledgers are general controls over expenditures, and they in turn summarize and are supported by more detailed controls that normally take the form of project or job orders that authorize exact and specific expenditures.

The sources of data that are posted to the ledger files are somewhat diverse, but they fall into two general groups:

- a. Copies of various obligation or expenditure documents, such as vouchers and schedules, that flow through the ledger unit for posting.
- b. Journal vouchers and similar internal control documents created to authorize and convey entries to the general ledger.

As the centralized fiscal record, the general ledgers ultimately summarize stores, plant, and cost accounting data, which are treated in a separate schedule, but these are only several aspects of the total ledger accounts. Consequently, the ledgers are the source of the data included in the basic apportionment reports to the OMB and the Treasury Department, and overall reports of agency fiscal condition which may be required by the General Accounting Office (Schedules 6 and 8). The adequacy for audit purposes of the general ledger accounts is normally considered by General Accounting Office auditors to

be indicative of the agency's entire accounting system and the reliability of its financial data.

This schedule does not apply to such records maintained on a Governmentwide basis by the Treasury Department and the OMB, or to those formerly maintained by the General Accounting Office. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration before applying these disposition instructions.

When a claim is filed by or against the Government, records relating to the claim should be retained without regard to the otherwise applicable records retention schedules that would have authorized destruction of the records prior to the time when the claim is finally resolved, unless the agency has received written approval from the General Accounting Office (44 U.S.C. Section 3309 and 62 Comp. Gen. 42 (1982)). A claim is finally resolved: (1) when it is disallowed and the time for appealing the denial or instituting suit on the claim has expired; or (2) when it is allowed and paid or the amount offered in compromise is accepted and paid; or (3) when the amount found due and owing proves uncollectible because time limits for collecting the indebtedness through legal proceedings or by way of setoff have expired.

All records described in this schedule are authorized for disposal in both hard-copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Expenditures Accounting General Correspondence and Subject Files.</u> Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration.	Destroy when 2 years old.
2.	<u>General Accounting Ledgers.</u> General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary.	Destroy 6 years and 3 months after the close of the fiscal year involved.

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

3. Appropriation Allotment Files.

Allotment records showing status of obligations and allotments under each authorized appropriations.

Destroy 6 years and 3 months after the close of the fiscal year involved.

4. Expenditure Accounting Posting and Control Files.

Records used as posting and control media, subsidiary to the general and allotment ledgers, and not covered elsewhere in this schedule.

a. Original records.

Destroy when 3 years old.

b. Copies.

Destroy when 2 years old.

GENERAL RECORDS SCHEDULE 8

Stores, Plant, and Cost Accounting Records

Specialized stores, plant, and cost accounting records are maintained by most agencies, particularly those with extensive plant and stock inventories. These records, which reflect the net monetary worth of an agency and its assets, are periodically reconciled with the supply data found in stock inventory records, but they do not include procurement papers. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration before applying these disposition instructions.

a. **Stores Accounting.** These records are maintained to provide personal accountability for the receipt and custody of materials and to document the monetary worth of such materials. Completed copies of material movement documents show custody, and stores accounting data are normally reviewed and consolidated by means of records and returns submitted to agency headquarters. There the information is used for procurement planning, budget, and other management purposes. These records do not include records reflecting the physical movements of material to and from storage points, although they may be involved in posting. Summary data on plant value are also available in pertinent ledger accounts.

b. **Plant Accounting.** These records document principal characteristics of each item of physical plant and equipment, including real property. They constitute primarily a type of inventory control, but in addition are a principal source of data on the capital investment in physical plant (as distinguished from maintenance or operating costs) and other items not normally represented in a store or stock inventory system. Summary data on plant value are also maintained.

c. **Cost Accounting.** These records are designed to show accumulated data on the costs of agency operation, the direct and indirect costs of production, administration, and the performance of program functions of the agency. The data, which are normally accumulated by means of cost reports and statistics accumulated by operating personnel, are ultimately integrated into the accounts concerned with operating and program costs. Material cost information is collected by posting requisitions for material or procurement documents to intermediate records, and labor cost information is obtained by charging time expended on individual jobs and projects assigned control numbers for cost control purposes. Cost data are used in evaluating economy of agency operation and in preparing budget estimates.

All records described in this schedule are authorized for disposal in both hard-copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Plant, Cost, and Stores General Correspondence Files.</u> Correspondence files of units responsible for plant, cost, and stores accounting operations.	Destroy when 3 years old.
2.	<u>Stores Invoice Files.</u> Invoices or equivalent papers used for stores accounting purposes.	Destroy when 3 years old.
3.	<u>Stores Accounting Files.</u> Stores accounting returns and reports.	Destroy when 3 years old.
4.	<u>Stores Accounting Background Files.</u> Working files used in accumulating stores accounting data.	Destroy when 2 years old.
5.	<u>Plant Accounting Files.</u> Plant account cards and ledgers, other than those pertaining to structures.	Destroy 3 years after item is withdrawn from plant account.
[Note: Plant accounting cards and ledgers pertaining to structures are not disposable under the GRS. Agencies must submit an SF 115 to NARA to schedule these records.]		
6.	<u>Cost Accounting Reports.</u> a. Copies in units receiving reports. b. Copies in reporting units, and related workpapers.	Destroy when 3 years old. Destroy when 3 years old.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
7.	<u>Cost Report Data Files.</u> Ledgers, forms, and electronic records used to accumulate data for use in cost reports.	
	a. Ledgers and forms.	Destroy when 3 years old.
	b. Automated records.	
	(1) Detail cards.	Destroy when 6 months old.
	(2) Summary cards.	Destroy when 6 months old.
	(3) Tabulations.	Destroy when 1 year old.

GENERAL RECORDS SCHEDULE 9

Travel and Transportation Records

This schedule covers records documenting the movement of goods and persons under Government orders. The records include bills of lading, transportation requests, transportation vouchers, per diem vouchers, travel authorizations, and all supporting documentation, including that prescribed by Title 5 of the General Accounting Office Policy and Procedures Manual. Record copies of all travel, transportation, and freight documents used to support payments become components of the accountable officers' accounts. Disposition for commercial transportation and freight site audit records is covered by item 1 of this schedule. Individual, noncommercial, reimbursable travel site audit records are covered by General Records Schedule 6, item 1a, item 10, or item 11. Some copies become accounting posting media, which are covered by General Records Schedule 7, item 4.

a. Movement of goods. The key record is the bill of lading, of which there are copies for consignors, consignees, and the carriers themselves. The documents related to and normally filed with the bill of lading are varied and often voluminous. These may consist of shortage and demurrage reports, invoices, and other data that document the transaction. Included are records relating to the shipment of household effects, authorized by law and regulations for military personnel and for civilian employees of the Government. Agencies shipping certain valuables under the Government Losses in Shipment Act, which insures against loss, retain copies of schedules of material shipped, documents relating to claims which may ensue, and other pertinent records.

b. Movement of persons. The movement of persons is documented by copies of travel orders, authorizing travel and subsequent payment, and standard-form vouchers showing payment for official travel. The two primary copies of travel orders are the administrative copy maintained by the transportation unit controlling the authorization of travel and the copy used for encumbrance of funds. Vouchers documenting cash advances for travel purposes are covered by General Records Schedule 6, item 1a, only after the advance has been properly liquidated and can be included in a settled fiscal account. Unliquidated cash advances for travel purposes are covered by General Records Schedule 6, item 10.

All records described in this schedule are authorized for disposal in both hard-copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- | | | |
|----|--|--|
| 1. | <u>Commercial Freight and Passenger Transportation Files.</u> | |
| a. | Original vouchers and support documents covering commercial freight and passenger transportation charges of settled fiscal accounts, including registers and other control documents, but EXCLUDING those covered by item 1b of this schedule. | Destroy 6 years after the period of the account. |
| b. | Records covering payment for commercial freight and passenger transportation charges for services for which 1) notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved, 2) deduction or collection action has been taken, 3) voucher contains inbound transit shipment(s), 4) parent voucher has print of paid supplemental bill associated, 5) voucher has become involved in litigation, or 6) any other condition, such as detection of overcharge, that prevents the settling of the account, requiring the voucher to be retained beyond the 6 year retention period. | Destroy when 10 years old. |
| c. | Issuing office copies of Government or commercial bills of lading, commercial passenger transportation vouchers (SF 1113A) and transportation requests (SF 1169), travel authorizations, and supporting documents. | Destroy 6 years after the period of the account. |
| d. | Obligation copy of commercial passenger transportation vouchers. | Destroy when funds are obligated. |

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
e.	Unused ticket redemption forms, such as SF 1170.	Destroy when no longer needed for administrative use.
2.	<u>Lost or Damaged Shipments Files.</u> Schedules of valuables shipped, correspondence, reports, and other records relating to the administration of the Government Losses in Shipment Act.	Destroy when 6 years old.
3.	<u>Noncommercial, Reimbursable Travel Files.</u> Copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel.	
a.	Travel administrative office files.	Destroy when 6 years old.
b.	Obligation copies.	Destroy when funds are obligated.
4.	<u>General Travel and Transportation Files.</u> a. Routine administrative records including correspondence, forms, and related records pertaining to commercial and non-commercial agency travel and transportation, and freight functions, not covered elsewhere in this schedule.	Destroy when 2 years old.
b.	Accountability records documenting the issue or receipt of accountable documents.	Destroy 1 year after all entries are cleared.

ITEM	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
5.	<u>Records Relating to Official Passports.</u>	
	a. Application files. Documents relating to the issuance of official passports, including requests for passports, transmittal letters, receipts, and copies of travel authorizations.	Destroy when 3 years old or upon separation of the bearer, whichever is sooner.
	b. Annual reports concerning official passports. Reports to the Department of State concerning the number of official passports issued and related matters.	Destroy when 1 year old.
	c. Passport registers. Registers and lists of agency personnel who have official passports.	Destroy when no longer needed.

[NOTES: (1) Official passports should be returned to the Department of State upon expiration or upon the separation of the employee. (2) Item 5b does not pertain to copies of the annual reports held by the Department of State.]

GENERAL RECORDS SCHEDULE 10

Motor Vehicle Maintenance and Operation Records

These records pertain to the management, maintenance, and operation of motor vehicles used by agencies.

41 CFR 101-38 prescribes policies and procedures. Standard Form 82, which is an annual motor vehicle report required by the Federal Supply Services, General Services Administration, is the only standardized record. Certain cost and inventory control forms have been developed, but they are not mandatory. This schedule covers agency records pertaining to the daily use and operation of the vehicles.

In general, records pertaining to motor vehicles reflect a threefold responsibility: (a) the accumulation of cost and operating data for internal accounting and management purposes and for reports submitted to the Office of Federal Supply and Services (Standard Form 82, Agency Report of Motor Vehicle Data); (b) the maintenance of the vehicles themselves; and (c) protecting the interest of the Government in accident claims against it. The records themselves consist of chauffeur service logs and reports, vehicle repair and maintenance checkoff sheets, cost ledgers, and claims correspondence and forms.

All records described in this schedule are authorized for disposal in both hard-copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Motor Vehicle Correspondence Files.</u> Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule.	Destroy when 2 years old.
2.	<u>Motor Vehicle Operating and Maintenance Files.</u> a. Operating records including those relating to gas and oil consumption, dispatching, and scheduling.	Destroy when 3 months old.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
b.	Maintenance records, including those relating to service and repair.	Destroy when 1 year old.
3.	<u>Motor Vehicle Cost Files.</u> Motor vehicle ledger and worksheets providing cost and expense data.	Destroy 3 years after discontinuance of ledger or date of worksheet.
4.	<u>Motor Vehicle Report Files.</u> Reports on motor vehicles (other than accident, operating, and maintenance reports), including SF 82, Agency Report of Motor Vehicle Data.	Destroy 3 years after date of report.
5.	<u>Motor Vehicle Accident Files.</u> Records relating to motor vehicle accidents, maintained by transportation offices, including SF 91, Operator's Report of Motor Vehicle Accident, SF 91A, Investigation Report of Motor Vehicle Accident, and SF 94, Statement of Witness.	Destroy 6 years after case is closed.
6.	<u>Motor Vehicle Release Files.</u> Records relating to transfer, sale, donation, or exchange of vehicles, including SF 97, The United States Government Certificate of Release to Obtain Title to a Motor Vehicle.	Destroy 4 years after vehicle leaves agency custody.
7.	<u>Motor Vehicle Operator Files.</u> Records relating to individual employee operations of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence.	Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate Government-owned vehicle, whichever is sooner.

GENERAL RECORDS SCHEDULE 11

Space and Maintenance Records

This schedule provides for the disposal of all copies, wherever located in an agency, of records relating to space and maintenance, except as indicated below. Records documenting these functions pertain to the acquisition, allocation, utilization, and release of space and include related correspondence and reports submitted to the General Services Administration (or equivalent agency with similar Governmentwide responsibilities) as directed by law and regulation (41 CFR 101-17); correspondence and forms relating to the compilation of directory service listings; identification credentials and related accountable records; requests for building and equipment services; and correspondence files reflecting the activities of the unit responsible for handling space and related matters within the agency.

This schedule does not cover (a) copies of these records that are an integral part of accountable officers' accounts (Schedule 6); (b) records of procurement and supply (Schedule 3); (c) records that reflect Governmentwide programs (such as the records held by the Public Buildings Service of the General Services Administration). Any records created prior to the establishment of the Public Buildings Administration in 1939 must be offered to the National Archives and Records Administration before applying these disposition instructions.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Space and Maintenance General Correspondence Files.</u> Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation, and related papers.	Destroy when 2 years old.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

2. Agency Space Files.

Records relating to the allocation, utilization, and release of space under agency control, and related reports to the General Services Administration.

a. Building plan files, surveys, and other records utilized in agency space planning, assignment, and adjustment.

Destroy 2 years after termination of assignment, or when lease is cancelled, or when plans are superseded or obsolete.

b. Correspondence with and reports to staff agencies relating to agency space holdings and requirements.

(1) Agency reports to the General Services Administration, including SF 81, Request for Space, and related documents.

Destroy when 2 years old.

(2) Copies in subordinate reporting units and related work papers.

Destroy when 1 year old.

3. Directory Service Files.

Correspondence, forms, and other records relating to the compilation of directory service listings.

Destroy 2 months after issuance of listing.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

4. Credentials Files.

Identification credentials and related papers.

- a. Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and property, dining room and visitors passes, and other identification credentials.

Destroy credentials 3 months after return to issuing office.

- b. Receipts, indexes, listings, and accountable records.

Destroy after all listed credentials are accounted for.

5. Building and Equipment Service Files.

Requests for building and equipment maintenance services, excluding fiscal copies.

Destroy 3 months after work is performed or requisition is cancelled.

GENERAL RECORDS SCHEDULE 12

Communications Records

The principal records documenting communication functions include messenger service data; telecommunications service control and operational records; long distance telephone reports; postal records, consisting of post office forms and supporting papers; mail control records and supporting and related papers; agency copies of penalty mail reports; and records relating to private delivery service (such as United Parcel Service).

This schedule covers the records described below, wherever located in an agency but does not cover records that reflect Governmentwide programs, such as records held by the U.S. Postal Service and the Information Technology Service of the General Services Administration, other than those documenting their own internal administrative management functions. In addition, item 4, telephone use records, has been reserved pending development of disposition standards acceptable to both the General Services Administration and the General Accounting Office. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration before applying the disposition instructions in this schedule.

Other than those covered by item 3, all records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Messenger Service Files.</u> Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.	Destroy when 2 months old.
2.	<u>Communication General Files.</u> a. Correspondence and related records pertaining to internal administration and operation.	Destroy when 2 years old.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
b.	Telecommunications general files including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters.	Destroy when 3 years old.
c.	Telecommunications statistical reports including cost and volume data.	Destroy when 1 year old.
d.	Telecommunications voucher files.	
	(1) Reference copies of vouchers, bills, invoices, and related records.	Destroy when 1 fiscal year old.
	(2) Records relating to installation, change, removal, and servicing of equipment.	Destroy 1 year after audit or when 3 years old, whichever is sooner.
e.	Copies of agreements with background data and other records relating to agreements for telecommunications services.	Destroy 2 years after expiration or cancellation of agreement.
3.	<u>Telecommunications Operational Files.</u> [See note on next page.]	
a.	Message registers, logs, performance reports, daily load reports, and related and similar records.	Destroy when 6 months old.
b.	Copies of incoming and original copies of outgoing messages, including SF 14, Telegraphic Message maintained by communications offices or centers, and EXCLUDING the copies maintained by the originating program office.	Destroy when 2 years old.

[NOTE: Master files and data bases created in central data processing facilities to supplement or replace the records covered by item 3 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

ITEM

NO. DESCRIPTION OF RECORDS AUTHORIZED DISPOSITION

4. Telephone Use Records. RESERVED.

5. Post Office and Private Mail Company
Records.

Post Office and private mail company forms
and supporting papers, exclusive of records
held by the United States Postal Service.

a. Records relating to incoming or outgoing
registered mail pouches, registered,
certified, insured, overnight, express,
and special delivery mail including
receipts and return receipts. Destroy when 1 year old.

b. Application for registration and
certification of declared value mail. Destroy when 1 year old.

c. Report of loss, rifling, delayed or late
delivery, wrong delivery, or other
improper treatment of mail. Destroy when 1 year old.

6. Mail and Delivery Service Control Files.

a. Records of receipt and routing of
incoming and outgoing mail and items
handled by private delivery companies
such as United Parcel Service,
EXCLUDING both those covered by
item 5 and those used as indexes to
correspondence files. Destroy when 1 year old.

b. Statistical reports of postage used on
outgoing mail and fees paid for private
deliveries (special delivery, foreign,
registered, certified, and parcel post or
packages over 4 pounds). Destroy when 6 months old.

c. Requisition for stamps (exclusive of
copies used as supporting documents to
payment vouchers). Destroy when 6 months old.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
d.	Statistical reports and data relating to handling of mail and volume of work performed.	Destroy when 1 year old.
e.	Records relating to checks, cash, stamps, money orders, or any other valuables remitted to the agency by mail.	Destroy when 1 year old.
f.	Records of and receipts for mail and packages received through the Official Mail and Messenger Service.	Destroy when 6 months old.
g.	General files including correspondence, memoranda, directives, and guides relating to the administration of mail room operations.	Destroy when 1 year old or when superseded or obsolete, whichever is applicable.
h.	Locator cards, directories, indexes, and other records relating to mail delivery to individuals.	Destroy 5 months after separation or transfer of individual or when obsolete, whichever is applicable.
7.	<u>Penalty Mail Report Files.</u> Official penalty mail reports and all related papers.	Destroy when 6 years old.
8.	<u>Postal Irregularities File.</u> Memoranda, correspondence, reports and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail.	Destroy 3 years after completion of investigation.

GENERAL RECORDS SCHEDULE 13

Printing, Binding, Duplication, and Distribution Records

This schedule provides for the disposal of all copies, wherever located in the agency, of records relating to printing, binding, duplication, and distribution, except as indicated. The principal records documenting these functions are (a) records pertaining to requests for service, control, production, and distribution of individual jobs or projects (this material normally consists of requisitions requesting service and registers or similar media utilized to control the receipt of the requisitions and to record the production, distribution, and cost analysis within the operating units); and (b) correspondence and report files reflecting the activities of the unit responsible for handling, printing, binding, duplication, and distribution matters within the agency. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration before applying these disposition instructions.

This schedule does not cover (a) the record copy of printed materials; (b) records retained by agencies for onsite audit by the General Accounting Office, and agency memorandum copies which are part of the accountable officers' accounts (Schedule 6); and (c) records that reflect agency programs (such as those of the Government Printing Office and the Bureau of Engraving and Printing), rather than administrative management functions.

All records described in this schedule are authorized for disposal in both hard-copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Administrative Correspondence Files.</u> Correspondence files pertaining to the administration and operation of the unit responsible for printing, binding, duplication, and distribution matters, and related documents.	Destroy when 2 years old.
2.	<u>Project Files.</u> Job or project records containing information relating to planning and execution of printing, binding, duplication, and distribution jobs.	

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
a.	Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related documents exclusive of (1) requisitions on the Public Printer and related records; and (2) records relating to services obtained outside the agency.	Destroy 1 year after completion of job.
b.	Files pertaining to planning and other technical matters.	Destroy when 3 years old.

[NOTE: The GRS does not cover the publications themselves. One copy of each publication should be designated the record copy and scheduled for transfer to the National Archives. Agencies should describe each series of publications on an SF 115 submitted to NARA. Extra copies are nonrecord and may be destroyed when no longer needed.]

3. Control Files.

Control registers pertaining to requisitions and work orders.

Destroy 1 year after close of fiscal year in which compiled or 1 year after filling of register, whichever is applicable.

4. Mailing Lists.

a. Correspondence, request forms, and other records relating to changes in mailing lists.

Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner.

b. Card lists.

Destroy individual cards when cancelled or revised.

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
5.	<u>JCP Reports Files.</u> Reports to Congress and related records.	
	a. Agency report to Joint Committee on Printing regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants or in storage.	Destroy when 3 years old.
	b. Copies in subordinate reporting units and related workpapers.	Destroy 1 year after date of report.
6.	<u>Internal Management Files.</u> Records relating to internal management and operation of the unit.	Destroy when 2 years old.

GENERAL RECORDS SCHEDULE 14

Information Services Records

This schedule covers certain records pertaining to informational services performed by Government agencies in their day-to-day affairs and in their relations with the public; including records created in administering Freedom of Information Act and Privacy Act programs. Except as otherwise specified in individual items, it applies to copies of these records wherever located in an agency. Item 4 applies only to files maintained in the office responsible for the operation of the information activities of the agency or subdivision thereof. Items 11 through 15 describe the files accumulated in carrying out the provisions of the Freedom of Information Act, and items 21 through 26 describe the files created in administering the provisions of the Privacy Act. Items 31 through 35 cover records created in response to requests for mandatory records declassification.

These records consist of inquiries, replies, and related correspondence; in the case of FOIA, Privacy Act, and mandatory declassification files, appeals and other records; administrative background files for formal information releases, and records relating to inappropriate release of privileged information. Closely related records such as records relating to budget presentation, and printing, duplicating, and distribution are covered by other General Records Schedules. Records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying this schedule.

Other information services records such as speeches and press releases may have permanent value. As potentially archival records, these series must be scheduled individually so NARA may appraise them. To schedule these and other information services records not included in this schedule, agencies submit an SF 115, Request for Records Disposition Authority, to NARA.

All records described in this schedule are authorized for disposal in both hard-copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Information Requests Files.</u> Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs, and other information literature.	Destroy when 3 months old or when no longer needed, whichever is sooner.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

2. Acknowledgement Files.

Acknowledgement and transmittals of inquiries and requests that have been referred elsewhere for reply.

Destroy 3 months after acknowledgement and referral.

3. Press Service Files.

Press service teletype news and similar materials.

Destroy when 3 months old.

4. Information Project Files.

Information service project case files maintained in formally designated information offices.

Destroy 1 year after close of file or 1 year after completion of project.

5. Commendation/Complaint Correspondence Files.

Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, EXCLUDING those on the basis of which investigations were made or administrative action taken and those incorporated into individual personnel records.

Destroy when 3 months old.

6. Indexes and Check Lists.

Bibliographies, checklists, and indexes of agency publications and releases, EXCLUDING those relating to record sets scheduled as permanent.

Destroy when superseded or obsolete.

7. through 10. Reserved.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

11. Freedom of Information Act (FOIA) Requests Files.

Files created in response to requests for information under the Freedom of Information Act, consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy of requested record or copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).

(1) Granting access to all the requested records.

Destroy 2 years after date of reply.

(2) Responding to requests for non-existent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(a) Request not appealed.

Destroy 2 years after date of reply.

(b) Request appealed.

Destroy as authorized under Item 12.

(3) Denying access to all or part of the records requested.

(a) Request not appealed.

Destroy 6 years after date of reply.

(b) Request appealed.

Destroy as authorized under Item 12.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- b. Official file copy of requested records.

Dispose of in accordance with approved agency disposition instructions for the related records or with the related FOIA request, whichever is later.

12. FOIA Appeals Files.

Files created in responding to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

- a. Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein).
- b. Official file copy of records under appeal.

Destroy 6 years after final determination by agency, 6 years after the time at which a requester could file suit, or 3 years after final adjudication by the courts, whichever is later.

Dispose of in accordance with approved agency disposition instructions for the related record or with the related FOIA request, whichever is later.

13. FOIA Control Files.

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

a. Registers or listing.

Destroy 6 years after date of last entry.

b. Other files.

Destroy 6 years after final action by the agency or after final adjudication by courts, whichever is later.

14. FOIA Reports Files.

Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, EXCLUDING annual reports to the Congress at the departmental or agency level.

Destroy when 2 years old or sooner if no longer needed for administrative use.

[NOTE: The GRS does not cover departmental or agency level annual reports to the Congress. These reports should be scheduled for transfer to the National Archives by submitting an SF 115 to NARA.]

15. FOIA Administrative Files.

Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.

Destroy when 2 years old or sooner if no longer needed for administrative use.

16. through 20. Reserved.

21. Privacy Act Requests Files.

Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).
 - (1) Granting access to all the requested records. Destroy 2 years after date of reply.
 - (2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.
 - (a) Requests not appealed. Destroy 2 years after date of reply.
 - (b) Requests appealed. Destroy as authorized under Item 22.
 - (3) Denying access to all or part of the records requested.
 - (a) Requests not appealed. Destroy 5 years after date of reply.
 - (b) Requests appealed. Destroy as authorized under Item 22.
- b. Official file copy of requested records. Dispose of in accordance with approved agency disposition instructions for the related records or with the related Privacy Act request, whichever is later.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

22. Privacy Act Amendment Case Files.

Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g).

a. Requests to amend agreed to by agency. Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials.

Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after agency's agreement to amend, whichever is later.

b. Requests to amend refused by agency. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials.

Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by agency, or 3 years after final adjudication by courts, whichever is later.

c. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record.

Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
23.	Privacy Act Accounting of Disclosure Files. Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.	Dispose of in accordance with the approved disposition instructions for the related subject individual's records or 5 years after the disclosure for which the accountability was made, whichever is later.
24.	<u>Privacy Act Control Files.</u> Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester. a. Registers or listings. b. Other files.	Destroy 5 years after date of last entry. Destroy 5 years after final action by the agency or final adjudication by courts, whichever is later.
25.	<u>Privacy Act Reports Files.</u> Recurring reports and one-time information requirement relating to agency implementation, including biennial reports to the Office of Management and Budget, and the Report on New Systems at the all levels.	Destroy when 2 years old.

[NOTE: The GRS does not cover the biennial report to Congress from the Office of Management and Budget.]

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

26. Privacy Act General Administrative Files.

Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.

Destroy when 2 years old or sooner if no longer needed for administrative use.

27. through 30. Reserved.

31. Mandatory Review For Declassification Requests Files.

Files created in response to requests for information under the mandatory review provisions of Executive Order (E.O.) 12356 consisting of the original request, a copy of the reply thereto, and all related supporting files, which may include the official file copy of requested records or a copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records if filed herein, and sanitizing instructions, if applicable).

(1) Granting access to all the requested records.

Destroy 2 years after date of reply.

(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(a) Request not appealed.

Destroy 2 years after date of reply.

(b) Request appealed.

Destroy as authorized under Item 32. ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	(3) Denying access to all or part of the records requested.	
	(a) Request not appealed.	Destroy 5 years after date of reply.
	(b) Request appealed.	Destroy as authorized under Item 32.
b.	Official file copy of requested records.	Dispose of in accordance with approved disposition instructions for the related records or with the related mandatory review request, whichever is later.
c.	Sanitizing instructions.	Destroy when superseded or when requested documents are declassified or destroyed.
32.	<u>Mandatory Review for Declassification Appeals Files.</u>	
	Files created in responding to administrative appeals under the mandatory review provisions of E.O. 12356 and its predecessors for release of information denied by the agency. Files consist of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.	
a.	Correspondence and supporting documents (EXCLUDING the official file copy of the records under appeal if filed herein).	Destroy 4 years after final determination by agency.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

b. Official file copy of records under appeal.

Dispose of in accordance with approved agency disposition instructions for the related records, or with the related mandatory review request, whichever is later.

33. Mandatory Review for Declassification Control Files.

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.

a. Registers or listing.

Destroy 5 years after date.

b. Other files.

Destroy 5 years after final action by the agency.

34. Mandatory Review for Declassification Reports Files.

Reports relating to agency implementation of the mandatory review provisions of the current Executive Order on classified national security information, including annual reports submitted to the Information Security Oversight Office.

Destroy when 2 years old or sooner if no longer needed for administrative use.

35. Mandatory Review for Declassification Administrative Files.

Records relating to the general agency implementation of the mandatory review provisions of the current Executive Order on classified national security information, including notices, memoranda, correspondence, and related records.

Destroy when 2 years old or sooner if no longer needed for administrative use.

ITEM	<u>NO.</u> <u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
36.	<p><u>Erroneous Release Files.</u></p> <p>Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Files contain requests for information, copies of replies thereto, and all related supporting documents, and may include the official copy of records requested or copies thereof.</p>	
	a. Files that include the official file copy of the released records.	Follow the disposition instructions approved for the released official file copy or destroy 6 years after the erroneous release, whichever is later.
	b. Files that do not include the official file copy of the released records.	Destroy 6 years after the erroneous release.

GENERAL RECORDS SCHEDULE 15

Housing Records

The housing records covered by this schedule include files and data accumulated in the maintenance and management of Federally owned and operated housing facilities within the continental United States for civilian employees of the Federal Government, military personnel, and others eligible by law to reside in the projects. These facilities may consist of low cost quarters located either within or adjacent to the confines of Federal installations or in a critical defense or other area. This schedule includes housing records maintained by housing managers and housing or quarters offices, but does not cover the headquarters or staff office files of the supervising agency, or the files of the HUD, the Department of Health and Human Services, or the Department of Veterans Affairs pertaining to program operations in planning and financing housing facilities.

Maintenance records reflect repair and general upkeep of the housing project or units. Management involves the assignment and rental of units, rent collection and other fiscal operations, and overall supervision. However, rental charges for military personnel are normally represented by checkages made against pay accounts.

Certain housing records are subject to the provisions of other General Records Schedules. Supply and fiscal files are covered by General Records Schedules 3 and 6. Schedules 1, 2, 8, and 10 may also be involved. Many records of agent cashiers serving as housing rental managers are similar to those of other Federal accountable officers and are disposable under General Records Schedule 6.

All records described in this schedule are authorized for disposal in both hard-copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Housing General Correspondence Files.</u> Correspondence files pertaining to the maintenance and management of housing projects.	Destroy when 2 years old.

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
2.	<u>Housing Maintenance and Repair Files.</u> Maintenance and repair records for individual units. a. Summary card or ledger record. b. Work orders, requisitions, and related papers involved in repair and maintenance work.	Destroy 3 fiscal years following close of fiscal year in which unit is closed to tenancy or leaves agency control. Destroy 3 fiscal years following close of fiscal year in which work is done.
3.	<u>Housing Management Files.</u> Reports pertaining to housing management, including expenditure, survey, collection, and other statistical and narrative data.	Destroy when 2 years old.
4.	<u>Housing Lease Files.</u> Copies of leases, renewals, termination notices, and related documents.	Destroy 3 fiscal years following close of fiscal year in which (a) lease termination, lapse, or cancellation occurs or (b) litigation is concluded, whichever is later.
5.	<u>Housing Assignment and Vacancy Card Files.</u> a. Individual tenant cards.	Destroy when tenant vacates unit.

ITEM	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
b. Individual housing unit cards.		Destroy 3 fiscal years after close of fiscal year in which unit is closed to tenancy or leaves agency control.
6. <u>Housing Inventory Files.</u>	Furnishing inventory files, pertaining to items included in furnished units.	Destroy 3 fiscal years after close of fiscal year in which inventory is superseded.
7. <u>Housing Application Files</u> (other than copies in lease files).		
a. Rejected application files.		Destroy 1 year from date of rejection.
b. All others.		Destroy when 2 years old.

GENERAL RECORDS SCHEDULE 16

Administrative Management Records

This schedule provides for the disposal of certain records relating to administrative management activities in Federal agencies, excluding records of operating personnel, budget, accounting, and printing functions, which are covered by other General Records Schedules. Included within the scope of the schedule are disposable records created in the course of organizational planning, development, and simplification of procedures; records management activities; and administration of management improvement programs. General Records Schedule 1 (Items 12 and 13) provide for the disposition of case files on individuals involved in incentive award and similar types of management improvement programs. Any records created prior to January 1, 1939, must be offered to the National Archives and Records Administration before applying these disposition instructions.

The organizational locations and titles of administrative management units vary from agency to agency. They may be scattered at numerous levels or locations, or may be centralized. For the purposes of this schedule, the nomenclature standards set forth by the Senate Committee on Government Operations in Senate Report No. 245, 80th Congress, 1st session, are followed: the first organizational level within an agency is the bureau level; subordinate components are, successively, division, branch, section, and unit.

This schedule is based on the presumption that management activities are carried on by a specialized person or unit with, at least, divisionwide and usually bureauwide or agencywide responsibilities or by a group of such persons or units in an agency, although its provisions are applicable to exactly comparable records of agencies without such formal assignments of responsibility. Many similar or comparable records created at lower organizational levels or in field offices vary so greatly in content, value, and arrangement that they are not covered by this schedule.

Because of the nature of the activities documented by administrative management records, a relatively large proportion of them is of continuing value. Files with potential archival value are not covered by the General Records Schedules. They must be scheduled individually by submission of an SF 115 to NARA. These records include organizational charts and reorganization studies, functional statements, delegations of authority, and agency histories. However, related temporary or ephemeral materials include working papers that do not have a direct bearing on the transaction, intermediate drafts of documents and worksheets that do not represent significant basic steps in the preparation of final drafts, letters or memoranda of transmittal and acknowledgment, routing slips, and extra copies of documents.

All records described in this schedule are authorized for disposal in both hard-copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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| 1. | <u>Administrative Issuances.</u> | |
| | a. Notices and other types of issuances related to routine administrative functions (e.g., payroll, procurement, personnel). | Destroy when superseded or obsolete. |
| | b. Case files related to (a) above that document aspects of the development of the issuance. | Destroy when issuance is destroyed. |

[NOTE: Record sets of formal directives, procedural and operating manuals, publications, and management improvement reports submitted to the Office of Management and Budget, and the case files documenting their development are potentially permanent records and must be scheduled by submission of an SF 115 to NARA.]

2.	<u>Records Disposition Files.</u>	
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Descriptive inventories, disposal authorizations, schedules, and reports.

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|--|---|---|
| | a. Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Request to Transfer, Approval, and Receipt of Records to National Archives of the United States; and related documentation. | Destroy when related records are destroyed, or transferred to the National Archives, or when no longer needed for administrative or reference purposes. |
| | b. Routine correspondence and memoranda. | Destroy when no longer needed for reference. |

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

3. Forms Files.

a. One record copy of each form created by an agency with related instructions and documentation showing inception, scope, and purpose of the form.

Destroy 5 years after related form is discontinued, superseded, or canceled.

b. Background materials, requisitions, specifications, processing data, and control records.

Destroy when related form is discontinued, superseded, or canceled.

4. Records Holdings Files.

Statistical reports of agency holdings, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer.

a. Records held by offices that prepare reports on agencywide records holdings.

Destroy when 3 years old.

b. Records held by other offices.

Destroy when 1 year old.

5. Project Control Files.

Memoranda, reports, and other records documenting assignments, progress, and completion of projects.

Destroy 1 year after the year in which the project is closed.

6. Reports Control Files.

Case files maintained for each agency report created or proposed, including public use reports. Included are clearance forms, including OMB 83 (formerly SF 83); copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.

Destroy 2 years after the report is discontinued.

ITEM	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
7.	<u>Records Management Files.</u> Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule.	Destroy when 6 years old. Earlier disposal is authorized if records are superseded, obsolete, or no longer needed for reference.
8.	<u>Committee and Conference Files.</u>	
	a. Records relating to establishment, organization, membership, and policy of internal committees.	Destroy 2 years after termination of committee.
	b. Records created by committees.	
	(1) Agenda, minutes, final reports, and related records documenting the accomplishments of official boards and committees, EXCLUDING those maintained by the sponsor or Secretariat.	Destroy when 3 years old or when no longer needed for reference, whichever is sooner.
	(2) All other committee records.	Destroy when 3 years old or when no longer needed for reference, whichever is sooner.

[NOTE: Records maintained by the sponsor or Secretariat are potentially permanent and must be scheduled by submission of an SF 115 to NARA.]

[NOTE: Records created to comply with the provisions of the Government in the Sunshine Act, including transcriptions and minutes of closed meetings, electronic recordings for which verbatim transcripts do not exist, and annual reports to Congress describing the agency's compliance with the act, are permanent records and must be scheduled by submission of an SF 115 to NARA.]

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
c.	Records maintained by agency Committee Management Officers for committees established under the Federal Advisory Committee Act, including copies of charters, membership lists, agendas, policy statements, and material required to be available for public information.	Destroy 5 years after termination of committee.
9.	<u>Feasibility Studies.</u> Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives of the proposed system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system.	Destroy 5 years after completion or cancellation of study.
10.	<u>Microform Inspection Records.</u> a. Agency copy of inventories, logs, and reports documenting the inspection of permanent microform records, as required by 36 CFR Part 1230.	Destroy 1 year after the records are transferred to the legal custody of the National Archives.

[NOTES: (1) This item does not cover the copy of logs and reports that are attached to the SF 135 when records are transferred to a Federal records center or the SF 258 when records are transferred to the National Archives. (2) Inspection records for unscheduled records that are converted to microform are also unscheduled and may not be destroyed.]

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

b. Agency copy of logs and other records documenting the inspection of temporary microform records, as recommended by 36 CFR Part 1230.

Destroy when no longer needed.

11. IRM Triennial Review Files.

Reports required by the General Services Administration concerning reviews of information resources management (IRM) practices. Included are associated correspondence, studies, directives, feeder reports, and monitoring surveys and reports.

Destroy when 7 years old.

12. Information Collection Budget Files.

Reports required by the Office of Management and Budget under the Paperwork Reduction Act about the number of hours the public spends fulfilling agency reporting requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations.

Destroy when 7 years old.

13. Documents Published in the Federal Register.

a. Files documenting the processing of notices announcing committee meetings, including meetings open to the public under the Government in Sunshine Act (5 U.S.C. 552b (e) (3)); hearings and investigations; filing of petitions and applications; issuance or revocation of a license; grant application deadlines, the availability of certain environmental impact statements; delegations of authority; and other matters that are not codified in the Code of Federal Regulations.

Destroy when 1 year old.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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| b. | Files documenting the processing of semiannual regulatory agenda. | Destroy when 2 years old. |
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[NOTE: Agency files documenting the development, clearance, and processing of proposed and final rules for publication in the Federal Register are not covered by the General Records Schedules. These records may be, but are not necessarily, permanent. They must be scheduled individually by each agency so NARA can conduct an analysis and appraisal to determine their appropriate disposition.]

14. Management Control Records.

Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and P.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.

- a. Policy, procedure, and guidance files.

Copies of internal directives maintained by the agency's internal control staff (but not those copies maintained in the agency's official file of internal directives); external directives such as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews.

Destroy when superseded.

- b. Management control plans.

Comprehensive plans documenting the agency's efforts to ensure compliance with OMB Circular A-123.

Destroy when superseded.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

c. Risk analyses.

Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions.

Cut off closed files annually.
Destroy after next review cycle.

d. Annual reports and assurance statements created by organizational components below the agency (department or independent agency) level and compiled by the agency into a single unified report for direct submission to the President or Congress.

Cut off closed files annually.
Destroy after next reporting cycle.

[NOTE: This item does not cover the consolidated final reports submitted directly to the President or Congress. The final reports must be scheduled by submitting an SF 115 to the National Archives.]

e. Tracking files.

Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.

Destroy when no longer needed.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

f. Review files.

Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Since A-123 provides for alternative internal control reviews under OMB Circulars A-76, A-127, or A-130, this item also applies to copies of these reviews, provided they are identified as alternative reviews in the management control plan.

(1) Office with responsibility for coordinating Internal Control functions.

Cut off when no further corrective action is necessary.
Destroy 5 years after cutoff.

(2) Copies maintained by other offices as internal reviews.

Cut off when no further corrective action is necessary.
Destroy 1 year after cutoff.

[NOTE: Alternative reviews such as computer security reviews and management and consultant studies may need to be kept longer than provided in item 14f(2). This item applies only to **copies** maintained as internal reviews.]

GENERAL RECORDS SCHEDULE 17

Cartographic, Aerial Photographic, Architectural, and Engineering Records

Federal agencies create or receive cartographic, aerial photographic, architectural, and engineering design records in connection with their official activities. Many of these records have continuing historical value after they are no longer being used by the agency. Descriptions of both the historically valuable and the disposable records were formerly included in General Records Schedule 17, Cartographic, Remote Sensing Imagery, and Related Records, and in General Records Schedule 22, Design and Construction Drawings and Related Records. The General Records Schedules have been revised to cover only disposable records. Guidelines for identifying and scheduling the records of continuing value are now provided in "Managing Cartographic and Architectural Records: An Instructional Guide." The Guide must be used in conjunction with the General Records Schedule to insure proper disposition of all cartographic, aerial photographic, architectural, and engineering design records held by an agency.

This schedule relates to cartographic records prepared during intermediate stages of publication, unannotated aerial photographic negatives and prints, and architectural and engineering drawings. Cartographic and aerial photographic records created before January 1, 1950, and architectural or engineering drawings created before January 1, 1921, must be brought to the attention of the National Archives before applying the disposition instructions in this schedule.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Cartographic Records Prepared During Intermediate Stages of Publication.</u> Scribed plastic sheets, color separation sheets, composites prepared as a step in the making of color separation sheets, photographic negatives, glass plate negatives, enlargements or reductions, color pulls, proof copies subject to final revision, "correction file" maps annotated to show corrections to be incorporated into the next edition of the published map, and similar items whose informational content is duplicated by the final published map.	Destroy when no longer needed for revision.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
2.	<u>Vertical and Oblique Aerial Photography.</u> Vertical and oblique film in black and white, color, or "false color," including related photo indexes (controlled or uncontrolled mosaics), flight line indexes, or coordinate grid systems used as finding aids. a. Unannotated duplicate copy negatives, internegatives, rectified negatives, and glass plate negatives. b. Unannotated prints when original film negatives exist.	 Destroy when no longer needed for agency use. Destroy when no longer needed for agency use.
<p>[NOTE: The term aerial photography means visual images of the surface of the earth, of other planetary bodies, or of the atmosphere, taken from airborne vehicles for the purpose of evaluating, measuring, or mapping the cultural and physical features of the landscape or sky, and related tabular and graphic indexes necessary for the proper identification and retrieval of these records. Conventional aerial photographs taken from aircraft produce direct film images from cameras. Other remote sensing imagery, such as that from orbiting satellites, which requires conversion or alteration of sensor data from digital, electronic, or computerized form to photographic or videographic images must be scheduled for disposition on a case-by-case basis.]</p>		
3.	<u>Architectural Drawings of Temporary Structures and Buildings or of Buildings Not Critical to the Mission of the Agency.</u> Drawings of structures and buildings such as telephone and electric lines, storage sheds, parking lots, and comfort stations.	 Destroy when no longer needed for administrative purposes.
4.	<u>Drawings of Electrical, Plumbing, Heating, or Air Conditioning Systems.</u>	Destroy when no longer needed for administrative purposes.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

5. Contract Negotiation Drawings.

Drawings prepared during contract negotiation for buildings or objects lacking historical, architectural, or technological significance; drawings related to electrical, plumbing, heating, or air conditioning projects; or drawings superseded by final working/as built drawings.

Destroy when no longer needed for administrative purposes.

6. Space Assignment Plans.

Outline floor plans indicating occupancy of a building.

Destroy when no longer needed for administrative purposes.

7. Architectural Models.

Models prepared for illustrative or presentation purposes.

Dispose of when no longer needed for administrative purposes.

[NOTE: These models may be offered for donation to museums or similar organizations after approval by NARA under the provisions of 36 CFR 1228.60.]

8. Engineering Drawings of Routine Minor Parts.

Drawings of such objects as fasteners, nuts, bolts, wires, screws, nails, pipefittings, brackets, struts, plates, and beams, if maintained separately or if segregable from a larger file.

Destroy when no longer needed for administrative purposes.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

9. Drawings Reflecting Minor Modifications.

Repetitive engineering drawings showing minor modifications made during research and development, and superseded by final drawings, if filed separately or if readily segregable from a larger file.

Destroy when no longer needed for administrative purposes.

10. Paint Plans and Samples.

Plans and paint samples for painting all areas of buildings lacking historical, architectural, or technological significance and plans and samples for painting appliances, elevators, and other mechanical parts of buildings.

Destroy when no longer needed for administrative use.

[NOTE: Paint plans and samples for the interior and exterior walls of buildings significant for historical, architectural, or technological reasons are not disposable under this item and must be scheduled by submitting an SF 115 to NARA.]

GENERAL RECORDS SCHEDULE 18

Security and Protective Services Records

Security and protective services records include the various files created by agencies to control and protect classified information; to protect Government facilities from unauthorized entry, sabotage, or loss; to ensure the adequacy of protective measures at privately owned plants given security cognizance by the Government; to determine loyalty and fitness of individuals employed by, or seeking employment from the Government; and to develop and implement plans for the protection of life and property under emergency conditions. Included are selected files of offices having Governmentwide or agencywide responsibility for security and protective services programs. Also included are files of security units, guard forces, and other organizational elements documenting the control of classified information, access to facilities, and like matters.

This schedule authorizes for disposal records documenting administrative actions relating to the above functions. Records documenting Governmentwide or agencywide security and protective services planning and programming, reflecting basic overall policies and determinations are not authorized for disposal by this schedule. Variations among agencies in methods of implementing statutory requirements for security and protective services result in dissimilarities in program documentation. The application of standard techniques of filing and disposition to such records through the medium of a General Records Schedule is therefore impractical. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration before applying these disposition instructions.

With the exception of item 5, all records described in this schedule are authorized for disposal in both hard-copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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Classified Information Accounting and Control Records

Records accumulating from measures taken by agencies to protect classified information from unauthorized disclosure in accordance with Executive Orders and statutory or regulatory requirements.

1. Classified Documents Administrative Correspondence Files.

Correspondence files pertaining to the administration of security classification, control, and accounting for classified documents, not covered elsewhere in this schedule.

Destroy when 2 years old.

[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agencywide responsibilities for security and protective services programs.]

2. Document Receipt Files.

Records documenting the receipt and issuance of classified documents.

Destroy when 2 years old.

3. Destruction Certificates Files.

Certificates relating to the destruction of classified documents.

Destroy when 2 years old.

4. Classified Document Inventory Files.

Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule.

Destroy when 2 years old.

ITEM

NO. DESCRIPTION OF RECORDS AUTHORIZED DISPOSITION

5. Top Secret Accounting and Control Files.

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| a. | Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents. | Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed. |
| b. | Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data. | Destroy when related document is downgraded, transferred, or destroyed. |

[NOTE: Master files and data bases created in central data processing units to supplement or replace the records covered by item 5 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

6. Access Request Files.

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| Requests and authorizations for individuals to have access to classified files. | Destroy 2 years after authorization expires. |
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7. Classified Document Container Security Files.

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| a. | Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers. | Destroy when superseded by a new form or list or upon turn-in of containers. |
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ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
b.	Forms placed on safes, cabinets, or vaults containing security classified documents that record opening, closing, and routine checking of the security of the container, such as locking doors and windows, and activating alarms. Included are such forms as SF 701, Activity Security Checklist, and SF 702, Security Container Check Sheet.	Destroy 3 months following the last entry on the form (see note).

[NOTE: Forms involved in investigations will be retained until completion of the investigation.]

Facilities Security and Protective Services Records

Records relating to measures taken for the protection of Government-owned facilities and privately operated facilities given security cognizance by the Government from unauthorized entry, sabotage, or loss.

8. Security and Protective Services
Administrative Correspondence Files.

Correspondence files relating to administration and operation of the facilities security and protective services programs, not covered elsewhere in this schedule.	Destroy when 2 years old.
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[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agency-wide responsibilities for security and protective services programs.]

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

9. Survey and Inspection Files.
(Government-owned facilities)

Reports of surveys and inspections of Government-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry.

Destroy when 3 years old or upon discontinuance of facility, whichever is sooner.

10. Survey and Inspection Files.
(privately owned facilities)

Reports of surveys and inspections of privately owned facilities assigned security cognizance by Government agencies and related documents.

Destroy when 4 years old or when security cognizance is terminated, whichever is sooner.

11. Investigative Files.

Investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related documents when the original reports are submitted for review and filing in other agencies or organizational elements, and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements.

Destroy when 2 years old.

12. Property Pass Files.

Property pass files, authorizing removal of property or materials.

Destroy 3 months after expiration or revocation.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
13.	<u>Guard Assignment Files.</u> Files relating to guard assignments and strength. a. Ledger records. b. Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements.	 Destroy 3 years after final entry. Destroy when 2 years old.
14.	<u>Police Functions Files.</u> Files relating to exercise of police functions. a. Ledger records of arrest, cars ticketed, and outside police contacts. b. Reports, statements of witnesses, warning notices, and other documents relating to arrests, commitments, and traffic violations. c. Reports on contact of outside police with building occupants.	 Destroy 3 years after final entry. Destroy when 2 years old. Destroy when 1 year old.
15.	<u>Personal Property Accountability Files.</u> Files relating to accountability for personal property lost or stolen. a. Ledger files.	 Destroy 3 years after final entry.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

	b. Reports, loss statements, receipts, and other documents relating to lost and found articles.	Destroy when 1 year old.
16.	<u>Key Accountability Files.</u> Files relating to accountability for keys issued.	
	a. For areas under maximum security.	Destroy 3 years after turn-in of key.
	b. For other areas.	Destroy 6 months after turn-in of key.
17.	<u>Visitor Control Files.</u> Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.	
	a. For areas under maximum security.	Destroy 5 years after final entry or 5 years after date of document, as appropriate.
	b. For other areas.	Destroy 2 years after final entry or 2 years after date of document, as appropriate.
18.	<u>Facilities Checks Files.</u> Files relating to periodic guard force facility checks.	
	a. Data sheets, door slip summaries, check sheets, and guard reports on security violations (except copies in files of agency security offices covered by item 24 of this schedule).	Destroy when 1 year old.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

b. Reports of routine after-hours security checks that either do not reflect security violations or for which the information contained therein is documented in the files defined in item 24 of this schedule.

Destroy when 1 month old.

19. Guard Service Control Files.

a. Control center key or code records, emergency call cards, and building record and employee identification cards.

Destroy when superseded or obsolete.

b. Round reports, service reports on interruptions and tests, and punch clock dial sheets.

Destroy when 1 year old.

c. Automatic machine patrol charts and registers of patrol and alarm services.

Destroy when 1 year old.

d. Arms distribution sheets, charge records, and receipts.

Destroy 3 months after return of arms.

20. Logs and Registers.

Guard logs and registers not covered elsewhere in this schedule.

a. Central guard office master logs.

Destroy 2 years after final entry.

b. Individual guard post logs of occurrences entered in master logs.

Destroy 1 year after final entry.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Personnel Security Clearance Records

Records accumulating from investigations of personnel conducted under Executive Orders and statutory or regulatory requirements.

21. Security Clearance Administrative Subject Files.

Correspondence, reports, and other records relating to the administration and operation of the personnel security program, not covered elsewhere in this schedule.

Destroy when 2 years old.

22. Personnel Security Clearance Files.

Personnel security clearance case files created under Office of Personnel Management procedures and regulations and related indexes maintained by the personnel security office of the employing agency.

- a. Case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to Government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the investigation and the status of the clearance, exclusive of copies of investigative reports furnished by the investigating agency.

Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Investigative reports and related documents furnished to agencies by investigative organizations for use in making security/suitability determinations.	Destroy in accordance with the investigating agency instructions.
	c. Index to the Personnel Security Case Files.	Destroy with related case file.
23.	<u>Personnel Security Clearance Status Files.</u> Lists or rosters showing the current security clearance status of individuals.	Destroy when superseded or obsolete.
24.	<u>Security Violations Files.</u> Case files relating to investigations of alleged violations of Executive Orders, laws, or agency regulations for the safeguarding of national security information.	
	a. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Department of Justice or Defense for prosecutive determination, exclusive of files held by Department of Justice or Defense offices responsible for making such determinations.	Destroy 5 years after close of case.
	b. All other files, exclusive of documents placed in official personnel folders.	Destroy 2 years after completion of final action or when no longer needed, whichever is sooner.

[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agencywide responsibilities for emergency programs.]

ITEM

NO. DESCRIPTION OF RECORDS AUTHORIZED DISPOSITION

27. Emergency Planning Case Files.

Case files accumulated by offices responsible for the preparation and issuance of plans and directives, consisting of a copy of each plan or directive issued, with related background documents, EXCLUDING one record copy of each plan or directive issued, if not included in the agency's permanent set of master directives files.

Destroy 3 years after issuance of a new plan or directive.

[NOTES: (1) If the emergency plan is not included in the agency's master set of directives files, a record set must be maintained and scheduled for eventual transfer to the National Archives by submission of an SF 115. (2) Emergency planning reports of operations tests, consisting of consolidated or comprehensive reports reflecting agencywide results of tests conducted under emergency plans are also permanent and must be scheduled for transfer to the National Archives by submission of an SF 115.]

28. Emergency Operations Tests Files.

Files accumulating from tests conducted under agency emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities, and reports EXCLUDING consolidated and comprehensive reports.

Destroy when 3 years old.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

29. National Defense Executive Reserve (NDER)
Case Files.

Case files for NDER reservists or applicants, maintained by agencies with major mobilization responsibilities in cases of national security emergencies, including qualifications statement, other personnel and administrative records, skills inventory, training data, and other records relating to administration of the NDER program.

a. Case files on reservists.

Destroy 5 years after termination from NDER program.

b. Case files on individuals whose applications were rejected or withdrawn.

Destroy when 5 years old.

GENERAL RECORDS SCHEDULE 19
Research and Development Records

The previous editions of the General Records Schedules (GRS) included GRS 19, Research and Development Records. However, GRS 19 has not provided meaningful records disposition authority for Federal research and development records. Because of the varied nature of research and development activities in the Federal Government, uniform disposition standards cannot be mandated for most series of records created in carrying out such functions. Retention periods were not specified for the more substantive records series. In addition, many research and development activities do not generate records as described in the previous version of GRS 19. It is important for agencies to schedule their research and development records individually, so that they may be accurately described. This approach will allow proper appraisal of the records by the National Archives and Records Administration and facilitate preservation of significant records for future research. The National Archives has determined that the disposition of research and development records should not be governed by a General Records Schedule.

GRS 19 is therefore RESCINDED.

GENERAL RECORDS SCHEDULE 20

Electronic Records

This schedule provides disposal authorization for certain electronic records and specified hard-copy (paper) or microform records that are integrally related to the electronic records.

This schedule applies to disposable electronic records created or received by Federal agencies including those managed for agencies by contractors. It covers records created by computer operators, programmers, analysts, systems administrators, and all personnel with access to a computer. Disposition authority is provided for certain master files, including some tables that are components of data base management systems, and certain files created from master files for specific purposes. In addition, this schedule covers certain disposable electronic records produced by end users in office automation applications. These disposition authorities apply to the categories of electronic records described in GRS 20, regardless of the type of computer used to create or store these records.

GRS 20 does not cover all electronic records. Electronic records not covered by GRS 20 may not be destroyed unless authorized by a Standard Form 115 that has been approved by the National Archives and Records Administration (NARA).

The records covered by several items in this schedule are authorized for erasure or deletion when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. NARA cannot establish a more specific retention that would be appropriate in all applications. Each agency should, when appropriate, determine a more specific disposition instruction, such as "Delete after X update cycles" or "Delete when X years old," for inclusion in its records disposition directives or manual. NARA approval is not needed to set retention periods for records in the GRS that are authorized for destruction when no longer needed.

Items 2a and 1a (in part) of this schedule apply to hard-copy or microform records used in conjunction with electronic files. Item 1 also covers printouts produced to test, use, and maintain master files. Items 10 and 11 of this schedule should be applied to special purpose programs and documentation for disposable electronic records whatever the medium in which such documentation and programs exist.

This schedule has been revised to include electronically-generated records previously covered in General Records Schedule 23, Records Common to Most Offices. The original numbering of the items in GRS 20 has been preserved. The items moved from GRS 23 have been added at the end, except the item covering administrative data bases that has been incorporated into item 3.

Electronic versions of records authorized for disposal elsewhere in the GRS may be deleted under the provisions of item 3 of GRS 20.

See also 36 CFR Part 1234 for NARA regulations on electronic records management.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records.</u>	
a.	Electronic files or records created solely to test system performance, as well as hard-copy printouts and related documentation for the electronic files/records.	Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.
b.	Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records.	Delete after information has been transferred to the master file and verified.
c.	Electronic files and hard-copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use.	Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.
2.	<u>Input/Source Records.</u>	
a.	Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in a NARA-approved agency records schedule.	Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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| b. | Electronic records, except as noted in item 2c, entered into the system during an update process, and not required for audit and legal purposes. | Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or database, whichever is later. |
| c. | Electronic records received from another agency and used as input/ source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency. | Delete when data have been entered into the master file or database and verified, or when no longer needed to support reconstruction of, or serve as back up to, the master file or database, whichever is later. |
| d. | Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database. | Delete after the necessary data have been incorporated into a master file. |

3. Electronic Versions of Records Scheduled for Disposal.

- | | | |
|----|---|---|
| a. | Electronic versions of records that are scheduled for disposal under one or more items in GRS 1-16, 18, 22, or 23; EXCLUDING those that replace or duplicate the following GRS items: GRS 1, items 21, 22, 25f; GRS 12, item 3; and GRS 18, item 5. | Delete after the expiration of the retention period authorized by the GRS or when no longer needed, whichever is later. |
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ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

b.	Electronic records that support administrative housekeeping functions when the records are derived from or replace hard copy records authorized by NARA for destruction in an agency-specific records schedule.	
(1)	When hard copy records are retained to meet recordkeeping requirements.	Delete electronic version when the agency determines that it is no longer needed for administrative, legal, audit, or other operational purposes.
(2)	When the electronic record replaces hard copy records that support administrative housekeeping functions.	Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later.
(3)	Hard copy printouts created for short-term administrative purposes.	Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.
4.	<u>Data Files Consisting of Summarized Information.</u> Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or data base that is disposable under a GRS item or is authorized for deletion by a disposition job approved by NARA after January 1, 1988, EXCLUDING data files that are created as disclosure-free files to allow public access to the data which may not be destroyed before securing NARA approval.	Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. (See note on following page.)

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

[NOTE: Data files consisting of summarized information which were created from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed, may not be destroyed before securing NARA approval.]

5. Records Consisting of Extracted Information.

Electronic files consisting solely of records extracted from a single master file or data base that is disposable under GRS 20 or approved for deletion by a NARA-approved disposition schedule, EXCLUDING extracts that are:

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

- a) produced as disclosure-free files to allow public access to the data; or
- b) produced by an extraction process which changes the informational content of the source master file or data base;

which may not be destroyed before securing NARA approval. For print and technical reformat files see items 6 and 7 of this schedule respectively.

[NOTES: (1) Records consisting of extracted information that was created from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed may not be destroyed before securing NARA approval. (2) See item 12 of this schedule for other extracted data.]

6. Print File.

Electronic file extracted from a master file or data base without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

7. Technical Reformat File.

Electronic file consisting of data copied from a complete or partial master file or data base made for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

8. Backups of Files.

Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.

a. File identical to records scheduled for transfer to the National Archives.

Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to the National Archives and successfully copied.

b. File identical to records authorized for disposal in a NARA-approved records schedule.

Delete when the identical records have been deleted, or when replaced by a subsequent backup file.

9. Finding Aids (or Indexes).

Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.

Delete with related records or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

12. Downloaded and Copied Data.

Derived data and data files that are copied, extracted, merged, and/or calculated from other data generated within the agency, when the original data is retained.

a. Derived data used for ad hoc or one-time inspection, analysis or review, if the derived data is not needed to support the results of the inspection, analysis or review.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

b. Derived data that provide user access in lieu of hard copy reports that are authorized for disposal.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

c. Metadata or reference data, such as format, range, or domain specifications, which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations.

Delete from the receiving system or device when no longer needed for processing.

[NOTE: See item 5 of this schedule for other extracted data.]

13. Word Processing Files.

Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

Delete from the word processing system when no longer needed for updating or revision.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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14. Electronic Mail Records.

Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

Delete from the e-mail system after copying to a recordkeeping system.

[NOTE: Along with the message text, the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required.]

15. Electronic Spreadsheets.

Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or feeder reports.

a. When used to produce hard copy that is maintained in organized files.

Delete when no longer needed to update or produce hard copy.

b. When maintained only in electronic form.

Delete after the expiration of the retention period authorized for the hard copy by the GRS or a NARA-approved SF 115. If the electronic version replaces hard copy records with differing retention periods and agency software does not readily permit selective deletion, delete after the longest retention period has expired.

GENERAL RECORDS SCHEDULE 21

Audiovisual Records

This schedule covers audiovisual and related records created by or for agencies of the Federal Government as well as those acquired in the course of business. For audiovisual records that are not described in this schedule, agencies must request disposition authority by submitting an SF 115, Request for Records Disposition Authority, to the National Archives and Records Administration (NIR).

Audiovisual records include still and motion picture photography, graphic materials, and sound and video recordings. Related documentation includes (1) production files or other files documenting the creation, justification, ownership, and rights to the records and (2) finding aids used to identify or access the records.

This schedule does not cover: (1) cartographic records, (2) remote sensing imagery recorded on film or magnetic tape, or (3) microform copies of textual records. Disposable cartographic records and remote sensing imagery recorded on film are covered by GRS 17; temporary computerized data are covered by GRS 20 and GRS 23; and microform copies of textual records that have been authorized by NARA for destruction need not be separately scheduled, in accordance with 36 CFR 1230.10(b).

This schedule does not include descriptions of permanent or potentially permanent records. Guidance about the identification, maintenance, use, and disposition of potentially permanent audiovisual records is provided in the NARA publication, "Managing Audiovisual Records: An Instructional Guide." Copies are available from the NARA Office of Records Administration.

The word "destroy" is used to authorize the destruction of data or information. Erasable media such as audio tape should be reused whenever practical. Silver-bearing photographic film must be destroyed in accordance with 41 CFR 101-45.10, "Recovery of Precious Metals."

This General Records Schedule authorizes the disposal of certain records without further concurrence from NARA. Agencies are encouraged to include specific series descriptions for such records in their comprehensive schedules while citing the applicable disposition instruction from this General Records Schedule as the authority for destroying the records.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Still Photography

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| 1. | Photographs of routine award ceremonies, social events, and activities not related to the mission of the agency. | Destroy when 1 year old or when no longer needed. |
| 2. | Personnel identification or passport photographs. | Destroy when 5 years old or when no longer needed. |
| 3. | Internal personnel and administrative training filmstrips and slides of programs that do not reflect the mission of the agency. | Destroy 1 year after completion of training program. |
| 4. | Duplicate items in excess of record elements required for preservation, duplication, and reference service by 36 CFR 1228.184. | Destroy when no longer needed. |

Graphic Arts

- | | | |
|----|--|--|
| 5. | Viewgraphs. | Destroy 1 year after use or when no longer needed. |
| 6. | Routine artwork for handbills, flyers, posters, letterhead, and other graphics. | Destroy 1 year after final publication or when no longer needed. |
| 7. | Line and halftone negatives, screened paper prints and offset lithographic plates used for photomechanical reproduction. | Destroy when no longer needed for publication or reprinting. |
| 8. | Line copies of graphs and charts. | Destroy 1 year after final production or when no longer needed. |

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Motion Pictures

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|-----|--|--|
| 9. | Films acquired from outside sources for personnel and management training. | Destroy 1 year after completion of training program. |
| 10. | Films acquired from outside sources for personnel entertainment and recreation. | Destroy when no longer needed. |
| 11. | Routine surveillance footage. | Destroy when no longer needed. |
| 12. | Routine scientific, medical, or engineering footage. | Destroy when 2 years old or when no longer needed. |
| 13. | Duplicate prints and preprint elements in excess of those elements required for preservation by 36 CFR 1228.184. | Destroy when no longer needed. |

Video Recordings

- | | | |
|-----|---|--|
| 14. | Programs acquired from outside sources for personnel and management training. | Destroy 1 year after completion of training program. |
| 15. | Programs acquired from outside sources for personnel entertainment and recreation. | Destroy when no longer needed. |
| 16. | Rehearsal or practice tapes. | Destroy immediately. |
| 17. | Internal personnel and administrative training programs that do not reflect the mission of the agency. (These include "role-play" sessions, management and supervisory instruction, etc.) | Destroy 1 year after completion of training program. |
| 18. | Routine surveillance recordings. | Destroy when no longer needed. |
| 19. | Routine scientific, medical, or engineering recordings. | Destroy when 2 years old or when no longer needed. |

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
20.	Recordings that document routine meetings and award presentations.	Destroy when no longer needed.
21.	Duplicate dubbings and premix elements in excess of those elements required for preservation, duplication, and reference by 36 CFR 1228.184.	Destroy when no longer needed.

Audio (Sound) Recordings

22.	Recordings of meetings made exclusively for note taking or transcription, EXCLUDING recordings of proceedings of Presidential commissions and other executive commissions.	Destroy immediately after use.
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[NOTE: Recordings of Presidential and other executive commissions are not covered by the GRS. Such records are usually appraised as permanent, and they must be described on an SF 115 submitted to NARA for final disposition approval.

23.	Dictation belts or tapes.	Destroy immediately after use.
24.	Premix sound elements created during the course of a motion picture, television, or radio production.	Destroy immediately after use.
25.	Library sound recordings (e.g., effects, music).	Destroy when no longer needed.
26.	Daily or spot news recordings available to local radio stations on a call-in basis.	Destroy when 6 months old or when no longer needed.
27.	Duplicate dubbings in excess of those elements required for preservation, duplication, and reference by 36 CFR 1228.184.	Destroy when no longer needed.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Related Documentation

- | | | |
|-----|--|--|
| 28. | Production files or similar files that document origin, development, acquisition, use, and ownership of temporary audiovisual records. | Dispose of according to the instructions covering the related audiovisual records. |
| 29. | Finding aids for identification, retrieval, or use of temporary audiovisual records. | Dispose of according to the instructions covering the related audiovisual records. |

GENERAL RECORDS SCHEDULE 22

Inspector General Records

The Inspectors General monitor agency programs and operations to prevent and reduce waste and fraud and to improve agency management. The Inspector General Act of 1978, as amended, and other legislation established an Office of Inspector General (OIG) in selected Government agencies. Several other agencies have created nonstatutory OIGs. An OIG conducts and supervises audits and investigations; recommends policies to promote economy, efficiency, and effectiveness and to prevent fraud and abuse; and reports problems, deficiencies and progress to the agency head. OIGs must submit reports to the Congress.

This schedule covers the two major series of disposable investigative, audit, and related records created or maintained by an OIG. Indexes to these files are covered by General Records Schedule 23, Records Common to Most Offices Within Agencies, item 9. Correspondence or subject files, policy files, publications, reports to Congress, and any other records not specifically described in this schedule must be scheduled by each agency individually. This schedule does not authorize disposal of investigative case files for cases that result in national media attention, Congressional investigation, or substantive changes in agency policy or procedure. Such files must be scheduled by submission of an SF 115.

This schedule does not apply to records created or accumulated by Inspectors General of military agencies (i.e., the Department of Defense and all DOD components) and the Central Intelligence Agency.

The records described in this schedule are authorized for disposal in both hard-copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	Investigative Case Files for Civilian Agencies other than the Central Intelligence Agency. Case files developed during investigations of known or alleged fraud, abuse, and irregularities or violations of laws and regulations, EXCLUDING those that result in national media attention, Congressional investigation, or substantive changes in agency policy or procedure. Cases relate to	

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

agency personnel and programs and operations administered or financed by the agency, including contractors and others having a relationship with the agency. This includes investigative files relating to employee and hotline complaints, and other miscellaneous complaint files. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers.

- a. Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation. They include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files providing general information which may prove useful in Inspector General investigations. Destroy when 5 years old.
- b. All other investigative case files except those that are unusually significant for documenting major violations of criminal law or ethical standards by agency officials or others. Place in inactive files when case is closed. Cut off inactive file at end of fiscal year. Destroy 10 years after cutoff.

[NOTE: Significant cases, i.e., those that result in national media attention, Congressional investigation, and/or substantive changes in agency policy or procedures are not covered by this item. The disposition of significant investigative files will be determined by NARA. Such files must be scheduled by submitting an SF 115.]

2. Audit Case Files of Civilian Agencies Other than the Central Intelligence Agency.

Case files of internal audits of agency programs, operations, and procedures, and of external audits of contractors and grantees, containing audit reports, correspondence, memoranda, and supporting working papers. Cut off at end of fiscal year in which case is closed. Destroy 8 years after cutoff.

General Records Schedule 23

Records Common to Most Offices Within Agencies

This schedule provides for the disposal of certain records common to most offices in Federal agencies. It covers administrative subject files; facilitative records such as suspense files, tracking and control records, calendars, and indexes; and transitory documents. This schedule does not apply to any materials that the agency has determined to be nonrecord or to materials such as calendars or work schedules claimed as personal.

Office Administrative Files described under item 1 are records retained by an originating office as its record of initiation of an action, request, or response to requests for information. This item may be applied only to separate administrative files containing such records as copies of documents submitted to other offices for action including budget feeder documents, purchase orders, and training requests. Item 1 may not be applied to files that also contain program records, and it may not be applied by an office that receives and takes action on documents submitted by other offices.

Several items covering electronic records produced on stand-alone or networked personal computers (such as word processing files, administrative data bases, and spreadsheets) that were previously in this schedule have been moved to General Records Schedule 20, Electronic Records. To preserve the previous numbering of the items in GRS 23, the item numbers that have been moved have been reserved. The disposition of records described in this schedule that are created in electronic form is governed by GRS 20, item 3.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

1. Office Administrative Files.

Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office.

Destroy when 2 years old, or when no longer needed, whichever is sooner.

[NOTE: This schedule is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the office, which must be scheduled prior to disposition by submitting an SF 115 to NARA.]

2-4. Reserved.

5. Schedules of Daily Activities.

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity, EXCLUDING materials determined to be personal.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- b. The file copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected.

Withdraw documents when reply is received. (1) If suspense copy is an extra copy, destroy immediately. (2) If suspense copy is the file copy, incorporate it into the official files.

7. Transitory Files.

Documents of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are shown below.

Destroy when 3 months old, or when no longer needed, whichever is sooner.

- a. Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply.
- b. Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material.
- c. Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

8. Tracking and Control Records.

Logs, registers, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or a NARA-approved SF 115.

Destroy or delete when no longer needed.

9. Finding Aids (or Indexes).

Indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.

Destroy or delete with the related records or sooner if no longer needed.

GENERAL RECORDS SCHEDULES

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(See instructions on the reverse)

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Title 44 United States Code, "Public Printing and Documents," regulations issued by the General Service Administration (GSA) in 41 CFR Chapter 101, Subchapter B, "Management and Use of Information and Records," and regulations issued by the National Archives and Records Administration (NARA) in 36 CFR Chapter XII, Subchapter B, "Records Management," require each agency to prepare and issue a comprehensive records disposition schedule that contains the NARA approved records disposition schedules for records unique to the agency and contains the NARA's General Records Schedules for records common to several or all agencies. The approved records disposition schedules specify the appropriate duration of retention and the final disposition for records created or maintained by the NRC. NUREG-0910, Rev. 3, contains "NRC's Comprehensive Records Disposition Schedule," and the original authorized approved citation numbers issued by NARA. Rev. 3 incorporates NARA approved changes and additions to the NRC schedules that have been implemented since the last revision dated March, 1992, reflects recent organizational changes implemented at the NRC, and includes the latest version of NARA's General Records Schedule (dated August 1995).

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