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Description of document: **Correspondence between the Nuclear Regulatory Commission (NRC) and the National Archives and Records Administration (NARA), 01-January-2001 – 29-July-2008**

Requested date: 23-June-2008

Released date: 22-August-2008

Posted date: 15-September-2008

Date/date range of document: 13-May-1999 – 29 July-2008

Source of document: FOIA Officer
National Archives and Records Administration
NGC-Room 3110
8601 Adelphi Road
College Park, MD 20740
Telephone: (301) 837-FOIA (3642)
FAX: (301) 837-0293

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National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

August 22, 2008

Re: Freedom of Information Act Request NGC08-191

This is in response to your Freedom of Information Act (FOIA) request of June 23, 2008, for correspondence between the Nuclear Regulatory Commission (NRC) and the National Archives and Records Administration (NARA) from January 1, 2001 to the present. Your request was received in this office on June 26, 2008, and assigned tracking number NGC08-191. On June 27, 2008, you narrowed your request to include only records from the Office of Record Services and the Office of the Archivist. I apologize for the delay in our response.

We located a total of 226 pages responsive to your request. Nineteen pages are being withheld in full pursuant to 5 U.S.C. 552(b)(5), the deliberative process privilege. Seven pages are being released in part and being withheld in part, pursuant to 5 U.S.C. 552(b)(6), privacy, and are enclosed with redactions. The remaining 200 pages are being released in full and are enclosed.

You agreed to pay up to \$80.00 for costs associated with this request. Per OMB guidelines, we are allowed to charge \$0.20 for reproductions. According to 36 CFR § 1250.52 (c), you will not be charged for the first 100 pages duplicated. To cover the fees associated with the remaining 107 pages of reproductions enclosed, please send a check made out to NARA for \$21.40 to my attention in Room 3110 at the above address.

If you are not satisfied with our action on this request, you have the right to file an administrative appeal. Address your appeal to the Deputy Archivist (ND), National Archives and Records Administration, College Park, Maryland 20740. Your appeal should be received within 35 calendar days of the date of this letter and it should explain why you think this response does not meet the requirements of the FOIA. Both the letter and the envelope should be clearly marked "Freedom of Information Act Appeal." All correspondence should reference the tracking number NGC08-191.

Please let us know if we may be of further assistance.

Sincerely,

JAY OLIN
Deputy FOIA Officer
Office of General Counsel

Part 1 of 2



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

October 1, 2005

Brenda Jo Shelton
U. S. Nuclear Regulatory Commission
T5 - F52
Washington, DC 20555-0001

Dear Ms. Shelton:

The National Archives and Records Administration (NARA) has completed its review of the permanent records of the Nuclear Regulatory Commission (RG 431) stored at the Washington National Records Center (WNRC) and eligible for transfer to NARA in 2006 and 2001. As a result of this review, we have prepared the enclosed SF 258, "Agreement to Transfer Records to the National Archives of the United States" covering 828 cubic feet of unclassified eligible permanent records.

Please review the SF 258 for accuracy, sign it in Block 2A and return it to:
Alex J. Daverede
Initial Processing and Declassification Division (NWMD)
Room 2600 National Archives at College Park
8601 Adelphi Road
College Park, MD 20740-6001

If you have any further questions about these textual records accessions, please contact Mr. Daverede on 301-837-1647.

Sincerely,

A handwritten signature in cursive script that reads "Jeanne Schauble".

JEANNE SCHAUBLE
Director
Initial Processing and Declassification Division

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

FRC

INTERIM CONTROL NO. (NARA Use Only)

TERMS OF AGREEMENT

The records described below and on the attached 2 pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.

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

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

2A. AGENCY APPROVAL

Signature Brenda Jo Shelton Date 12/20/05

2B. NAME, TITLE, MAILING ADDRESS

Brenda Jo Shelton
U.S. Nuclear Regulatory Commission
T-5 - F52
Washington DC 20555-0001

3A. NARA APPROVAL

Signature Jeanne Schauble Date 1/10/06

3B. NAME, TITLE, MAILING ADDRESS

JEANNE SCHAUBLE, Director
Initial Processing and Declassification Division, NWMD
8801 Adelphi Road
College Park, MD 20740-6001

RECORDS INFORMATION

4A. Unclassified Records of the Nuclear Regulatory Commission

4B. DATE SPAN OF SERIES

(Attach any additional description)

5A. AGENCY OR ESTABLISHMENT
Nuclear Regulatory Commission

5B. AGENCY MAJOR SUBDIVISION

5C. AGENCY MINOR SUBDIVISION

5D. UNIT THAT CREATED RECORDS

5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS
Name: Tyrone S. Greene
Telephone Number: (301) 415-6281

6. DISPOSITION AUTHORITY:
See attached list

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? ☒ YES ☐ NO

LEVEL: ☐ Confidential ☐ Secret ☐ Top Secret

SPECIAL MARKINGS: ☐ RD/FRD ☐ SCI ☐

NATO

8. CURRENT LOCATION OF RECORDS

☐ Agency (Complete 8A only)
☒ Federal Records Center (Complete 8B only)

8A. ADDRESS:

9. PHYSICAL FORMS

☒ Paper Documents ☐ Posters
☐ Paper Publications ☐ Maps and Charts
☐ Microfilm/Microfiche ☐ Arch/Eng Drawings
☐ Electronic Records ☐ Motion/Sound/Video
☐ Photographs ☐ Other (specify):

173,98

10. VOLUME: ☐ Cu. Mtr.: ☐ Cu. Ft.: 161 CONTAINERS: ☐ Number: ☐ Type:

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES
As soon as possible

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

☒ YES ☐ NO (If no, attach limits on use and justification)

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

(If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)
☐ YES ☒ NO

14. ATTACHMENTS

☐ Agency Manual Excerpt ☒ Listing of Records Transferred
☐ Additional Description ☐ NA Form 14097 or Equivalent
☐ Privacy Act Notice ☐ Microform Inspection Report
☐ Other (specify): ☐ SF(s) 135

8B. FRC ACCESSION NUMBER

CONTAINER NUMBERS

FRC LOCATION

See attached list

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION

RG 431

16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES

Signature [Signature] Date 2/24/06

17. NATIONAL ARCHIVES ACCESSION NO.

NN3-431-06-001

P. 05

RG	DISP	AFY	ACNO	SUB	VOL	SC	SERIES	DAU	BEGIN LO	ENDING LO
31	2001	86	0185		10		PROGRAM CORRES OFFICE LEVEL & ABOVE	NRCS1/2/2A	09431625	09431642
31	2001	86	0186		10		PROGRAM CORRES OFFICE LEVEL & ABOVE	NRCS1/2/2A	09885135	09885152
31	2001	86	0187		8		PROGRAM CORRES OFFICE LEVEL & ABOVE	NRCS1/2/2A	09362365	09362376
31	2001	86	0189		5		TRANSC COMMITTEE MTG	N1/431/01/2/7	09030821	09030825
31	2006	01	0404		4		INVEST CASE FILE	N1/431/00/2/1	04862154	04862161
31	2006	01	0547		3		INVEST CASE FILE	N1/431/00/2/1	05783356	05783362
31	2006	01	0697		4		COMITEE MINUTES	NRCS2/3/8A	04834624	04834631
31	2006	01	0813		7		PROGM CORRES	NRCS1/2/2A	04463362	04463372
31	2006	01	0814		9		PROGM CORRES	NRCS1/2/2A	04911353	04911365
131	2006	01	0833		5		PROGM CORRES	NRCS1/2/2A	04865552	04865556
131	2006	01	0854		12		PROGM CORRES	NRCS1/2/2A	04552146	04552165
131	2006	01	0859		3		PROGM CORRES	NRCS1/2/2A	04262524	04262526
131	2006	01	0875		1		PROGM CORRES	NRCS1/2/2A	04911371	04911371
131	2006	01	0895		6		ABNORMAL OCCURRENCE CASE FILE	NRCS2/4/1	05260522	05260531
131	2006	01	1295		8		COMMN SECY COMMENT FILE	NRCS2/25/1A	05582311	05582322
131	2006	01	1336		2		RES PROGM FILE	NRCS2/21/12A	04632915	04632916
131	2006	01	1340		1		RES PROGM FILE	NRCS2/21/12A	04750425	04750425
131	2006	01	1343		7		RES PROGM FILE	NRCS2/21/12A	08294255	08294265
131	2006	01	1368		2		RES PROGM FILE	NRCS2/21/12A	05382942	05382943
131	2006	01	1472		1		RES PROJ CASE FILE	NRCS2/21/13A	04075364	04075364
131	2006	01	1795		9		SPCL NUCL MATL DOCKET FILE	NRCS2/19/4E	04231761	04231773
131	2006	01	2230		5		SPCL NUCL MATL DOCKET FILE	NRCS2/24/4E	04860751	04860755
131	2006	01	2231		6		SPCL NUCL MATL DOCKET FILE	NRCS2/24/4E	04712711	04712716
131	2006	01	2236		1		SPCL NUCL MATL DOCKET FILE	NRCS2/24/4E	05854716	05854716
131	2006	01	2242		3		SPCL NUCL MATL DOCKET FILE	NRCS2/24/4E	04401356	04401362
131	2006	01	2333		9		RES PROJ CASE FILE	NRCS2/21/13A	08270364	08270376
131	2006	01	2356		14		GEN PROGM CORRES FILE	N1/431/00/9/9	04601923	04601944
131	2006	01	2464		1		SCI & TECH REPORTS	NRCS2/21/17A2	05701155	05701155
131	2006	01	2699		32		PROGM CORRES	NRCS1/2/2A	04731923	04731974
131	2006	02	0589		8		SPCL NUCL MATL DOCKET FILE 7/1985	N1/431/00/13/6	05575371	05575512
131	2006	02	0596		3		HL/LL & URANIUM DOCKET FILE	N1/431/00/20/9	04821926	04821932
131	2006	04	0191		3		PROGM CORRES	NRCS2/16/7	04885061	04885063
131	2006	86	0021		1		LITIG CASE FILE	NRCS2/13/4	09883611	09883611
131	2006	86	0023		4		LITIG CASE FILE	NRCS2/13/4	10224364	10224371
131	2006	86	0024		7		LITIG CASE FILE	NRCS2/13/4	10225143	10225153

DEC-20-2005 11:08

RG	DISP	AFY	AGNO	SUB	VOL	SC	SERIES	DAU	BEGIN LO	ENDING LO
31	2006	86	0027 ✓		3		LITIG CASE FILE	NRCS2/13/4	10225154	10225156
31	2006	86	0029 ✓		3		LITIG CASE FILE	NRCS2/13/4	10224541	10224543
31	2006	86	0029 ✓		10		LITIG CASE FILE	NRCS2/13/4	10224522	10224535
31	2006	86	0080		3		COMMN'S DECSN LICENSE DOCKET FILES	N1/431/01/2/1	09485351	09485353
31	2006	86	0080		140		COMMN'S DECSN LICENSE DOCKET FILES	N1/431/01/2/1	09482532	09483323
31	2006	86	0080		280		COMMN'S DECSN LICENSE DOCKET FILES	N1/431/01/2/1	09484111	09485322
31	2006	86	0080	8	139		COMMN'S DECSN LICENSE DOCKET FILES	N1/431/01/2/1	09483326	09483976
31	2006	86	0088		8		SPCL NUCL MATL DOCKET FILE	NRCS2/24/4E	09283144	09283155
31	2006	93	0064		3		RES PROJ CASE FILE 12/75-0/85	NRCS2/21/13A	07721316	07721322
31	2006	93	0064		7		RES PROJ CASE FILE	NRCS2/21/13A	07720975	07721115
31	2006	93	0067 ✓		14		LITIG CASE FILES	NRCS2/13/4	07720953	07720974
31	2006	94	0060		9		PROGM CORRES	NRCS1/2/2A	09340966	09341112
31	2006	94	0106 ✓		15		COMTEE & CONF RECORDS	N1/431/99/3/1	04842145	04842171



UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

December 20, 2005

Mr. Alex J. Daverede
Initial Processing and Declassification Division (NWMD)
Room 2600
National Archives at College Park
8601 Adelphi Road
College Park, MD 20740-6001

Dear Mr. Wood:

In response to your October 1, 2005, letter requesting the permanent transfer of 828 cubic feet of U.S. Nuclear Regulatory Commission (NRC) records currently stored at the Washington National Record Center (WNRC), we have enclosed the SF 258, "Agreement to Transfer Records to the National Archives of the United States" and your list of unclassified permanent records with lines through thirteen accessions, totaling 667 cubic feet of records, that are disapproved for transfer at this time.

The remaining 30 NRC accession numbers, totaling 161 cubic feet of records have been approved for permanent transfer.

The 13 accessions, totaling 667 cubic feet have been disapproved for the following reasons:

- Five accessions (431-86-0080, 431-86-0188, 431-01-1295, 431-01-2699, 431-01-0813), totaling 594 cubic feet, are currently referenced in the conduct of ongoing agency business.
- Five accessions (431-86-0185, 431-01-0186, 431-86-0187, 431-94-0060, 431-01-0697, totaling 41 cubic feet, are not eligible for transfer because they must be retained at the agency for the life of the Advisory Committee on Reactor Safeguards (ACRS) and the Advisory Committee on Nuclear Waste (ACNW). As a result of an agreement with NARA and the WNRC, these records will be reviewed at 10 year intervals as long as the ACRS and ACNW exist.
- Two accessions (431-86-0088 and 431-01-2356), totaling 22 cubic feet, are not eligible for transfer at this time because the disposition dates are not until 2008 and 2016, respectively.

- One accession (431-93-0064), totaling 10 cubic feet, was incorrectly identified as permanent, rather than temporary records.

If you have any questions, please contact Tyrone S. Greene at 301-415-6281 or e-mail address TSG@NRC.GOV.

Sincerely,



Brenda Jo. Shelton
NRC Records Officer

Enclosures: As stated

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

June 9, 1999

Ms. Brenda Shelton
Records Officer
Nuclear Regulatory Agency
T-6 F33
11545 Rockville Pike
Rockville MD 20852

Dear Ms. Shelton:

The National Archives and Records Administration (NARA) has completed its review of the permanent records of the Nuclear Regulatory Agency stored at the Washington National Records Center (WNRC) and eligible for transfer to NARA through the year 2001.

As a result of this review, we have prepared the enclosed SF 258, "Agreement to Transfer Records to the National Archives of the United States," covering 2,363 cubic feet of permanent textual records. We believe that this SF 258 covers all textual records of the Nuclear Regulatory Agency currently scheduled as permanent through 2001.

Please review the SF 258 for accuracy, sign it in Block 2A and return it to the following:

Richard Wood
Initial Processing and Declassification Division (NWMD) Room 2600
National Archives at College Park
8601 Adelphi Road
College Park MD 20740-6001.

If you have any questions about these records, please contact Mr. Wood on 301-713-7159. Thank you for your cooperation in this matter.

Sincerely,

JEANNE SCHAUBLE
Director
Initial Processing and Declassification Division

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

JRC

TERMINAL CONTROL NO. (NARA Use Only)
NWMD-431-99-001

TERMS OF AGREEMENT

The records described below and on the attached 3 pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.

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

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

2A. AGENCY APPROVAL

Signature

Date

10/25/99

3A. NARA APPROVAL

Signature

Date

11/2/99

2B. NAME, TITLE, MAILING ADDRESS

Brenda Jo. Shelton, Records Officer
Nuclear Regulatory Commission
Mail Stop T-6E6
Washington, DC 20555

3B. NAME, TITLE, MAILING ADDRESS

JEANNE SCHAUBLE
Director
Initial Processing and Declassification
Division

RECORDS INFORMATION

4A. RECORDS SERIES TITLE Unclassified records of RG 431 as described on the attached sheet.

4B. DATE SPAN OF SERIES

(Attach any additional description)

5A. AGENCY OR ESTABLISHMENT

Nuclear Regulatory Commission

5B. AGENCY MAJOR SUBDIVISION

5C. AGENCY MINOR SUBDIVISION

5D. UNIT THAT CREATED RECORDS

9. PHYSICAL FORMS

☒ Paper Documents ☐ Posters
☒ Paper Publications ☐ Maps and Charts
☒ Microfilm/Microfiche ☐ Arch/Eng Drawings
☐ Electronic Records ☐ Motion/Sound/Video
☐ Photographs ☐ Other (specify):

10. VOLUME: 5442, 363 CONTAINERS:

Cu. Mtr.: Cu. Ft.: A Number: Type:

5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS

Name:

Telephone Number:

1. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES

ASAP

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

☒ YES ☐ NO (If no, attach limits on use and justification)

6. DISPOSITION AUTHORITY: See attached sheet.

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? ☒ NO ☐ YES

LEVEL: Confidential Secret Top Secret

SPECIAL MARKINGS: RD/FRD SCI NATO

Other

INFORMATION STATUS: Segregated Declassified

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

☐ YES ☒ NO (If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)

8. CURRENT LOCATION OF RECORDS

Agency (Complete 8A only)

☒ Federal Records Center (Complete 8B only)

14. ATTACHMENTS

☐ Agency Manual Except ☒ Listing of Records Transferred
☐ Additional Description ☐ NA Form 14097 or Equivalent
☐ Privacy Act Notice ☐ Microform Inspection Report
☐ Other (specify): SF(s) 135

8A. ADDRESS:

8B. FRC ACCESSION NUMBER

CONTAINER NUMBERS

FRC LOCATION

See attached list. Acc # 86 B0256 (boxes 16-19) And Acc # 93-0009 (boxes 1-3, 27-28) missing at time of capture. Acc #s 86-0126, 86-0161, 86-0290, 86-0109, 86-0120, And 86-0128 + transferred under NN3-431-00-002.

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION

RG 431

16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES

Signature

Date

6/1/2000

17. NATIONAL ARCHIVES ACCESSION NO.

NN3-431-00-001

WNRC Project SF 258 List: RG 431

13-May-99

Accession Number	Volume	SERIES	Disposal Authority	WNRC Location	Boxes
431-86-0012	4	COMMRS CHRON FILE	1/78-6/83	NRC2/6/1	10224356 10224363 to
431-86-0015	2X	COMMN MEMO FILE	3/72-12/75	NRC2/13/1A	10610562 10610564 ✓ to
✓ 431-86-0016	2	LITIG CASE FILE	75-79	NRC2/13/4	10224516 10224521 ✓ to
✓ 431-86-0020	2	LITIG CASE FILE	78	NRC2/13/4	10610565 10610566 ✓ to
431-86-0028	10	LITIG CASE FILE	1/76-12/78	NRC2/13/4	10224071 10225114 to
431-86-0032	12	GOMTEE MINUTES	1/68-12/76	NRC2/13/8A	10224921 10224930 to
✓ 431-86-0040	39	INSPEC & ENFORCE CASE FILE		N1/431/92/1/1B	10604911 10604973 ✓ to
31-86-0044	25	INSPEC & ENFORCE CASE FILE		N1/431/92/1/1B	10605566 10605752 ✓ to
✓ 431-86-0046	21	INSPEC & ENFORCE CASE FILE		N1/431/92/1/1B	10605761 10610A41 ✓ to
✓ 431-86-0047	35	INSPEC & ENFORCE CASE FILE		N1/431/92/1/1B	10605146 10605334 ✓ to
431-86-0080	140	COMMNR DECSN LICS	59-75	NRC2/25/4	09482532 09483323 to
431-86-0080	130	COMMNR DECSN LICS	59-75	NRC2/25/4	09483326 09483976 to
431-86A-0080	260	COMMNR DECSN LICS BX282-541	59-75	NRC2/25/4	09484111 09485322 to
431-86B-0080	16	RULEMAKING CASE FILES BX542-557	75	NRC1/2/3A	09485323 09485346 to
✓ 431-86A-0097	3	PROGM CORRES OFFICE OF SECTY	67-	NRC1/2/2A	09442724 09442726 ✓ to
✓ 431-86C-0097	3	PROGM CORRES OFFICE OF SECTY	67-	NRC1/2/2A	09442732 09442734 ✓ to
✓ 431-86E-0097	1	PROGM CORRES OFFICE OF SECTY	67-	NRC1/2/2A	09442736 09442736 ✓ to
✓ 431-86G-0097	3	PROGM CORRES OFFICE OF SECTY	67-	NRC1/2/2A	09442742 09442744 ✓ to
✓ 431-86I-0097	2	PROGM CORRES OFFICE OF SECTY	67-	NRC1/2/2A	09442751 09442752 ✓ to
✓ 431-86-0101	23	UNPUB SCIENTIFIC & TECH REPORT	73-7	NRC2/21/17A2	09262974 09263373 ✓ to
✓ 431-86-0103	17	PROGM CORRES	74-76	NRC1/2/2A	10564321 10564345 ✓ to
431-86-0104	4	PROGM CORRES	75-76	NRC1/2/2A	10564173 10564176 ✓ to
431-86-0107	59	COMMN DECSN LICS DOCKET FILE	74-7	NRC2/25/4	09643064 09644342 to
431-86-0109	8	NUCL PLANT DOCKET FILE	66-78	N1/431/92/2/1A	10564022 10564933 to (NWMD 431-99-2)NU3-431-00-02
431-86-0111	93	PROGM CORRES	72-77	NRC1/2/2A	10564934 10565366 to
431-86-0117	8	LITIG CASE FILE	76-77	NRC2/13/4	10565525 10565530 to
431-86-0118	7	TRANSC COMMN MTG	76-77	NRC2/25/10	10565541 10565551 to
431-86-0120	3	NUCL PLANT DOCKET FILE	78	N1/431/92/2/1A	10565552 10565554 to (NWMD 431-99-2)NU3-431-00-02
✓ 431-86-0122	29	PROGM CORRES OFFICE OF SECTY	70-	NRC1/2/2A	10565555 10570A31 ✓ to
431-86-0124	16	PROGM CORRES	75-76	NRC1/2/2A	10570A32 10570131 to
431-86B-0124	27	PROGM CORRES	75-76	NRC1/2/2A	10570133 10570175 to
431-86-0126	9	RULE MAKING CASE FILE	62-74	NRC1/2/3A	09562764 09562776 to (NWMD 431-99-2)NU3-431-00-02
431-86-0128	6	NUCL PLANT DOCKET FILE	57-79	N1/431/92/2/1A	10570944 10570953 to (NWMD 431-99-2)NU3-431-00-02
431-86-0133	10	COMMN SECY COMMENT FILE	75-77	NRC2/25/2A	10570954 10570974 to
431-86-0135	59	COMMN DECSN LICS DOCKET FILE	76-7	NRC2/25/4	09651513 09651741 to

Accession Number	Volume	SERIES	Disposal Authority	WNRC Location	Boxes
✓ 431- 86 - 0141	9	AGRMT STATE FILE BX4-12	71-79 NRC2/27/1B	09644352 09644364	to ✓
✓ 431- 86 - 0142	6	PROGM CORRES	75-78 NRC1/2/2A	09601711 09601716	to ✓
✓ 431- 86 - 0144	1	PROGM CORRES	73-76 NRC1/2/2A	09511411 09511411	to ✓
431- 86 - 0146	14	COMMN SECY COMMENT FILE	77-78 NRC2/25/2A	09404123 09404144	to
431- 86 - 0152	14	COMTEE MINUTES	75-79 NRC2/3/8A	09224775 09224926	to
431- 86 - 0157	8	COMMN SECY COMMENT FILE	79 NRC2/25/2A	09431452 09431463	to
431- 86 - 0158	6	PROGM CORRES	78-1/80 NRC1/2/2A	09431442 09431451	to
✓ 431- 86 - 0160	23	AGRMT STATE FILE BX1-23	60-78 NRC2/27/1B	09643743 09643921	to ✓
431- 86 - 0161	5	PROGM CORRES	72-80 NRC1/2/2A	09692114 09692122	to (NWN D 431-99-2) NUS-431-00-002
✓ 431- 86 - 0164	4	PROGM CORRES	76-77 NRC1/2/2A	09432632 09432635	to ✓
✓ 431- 86 - 0172	28	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	09431663 09431836	to ✓
431- 86 - 0185	10	PROGM CORRES OFFICE LEVEL	58-68 NRC1/2/2A	09431625 09431642	to
431- 86 - 0186	10	PROGM CORRES OFFICE LEVEL	58-64 NRC1/2/2A	09885135 09885162	to
431- 86 - 0187	8	PROGM CORRES OFFICE LEVEL	57-68 NRC1/2/2A	09362965 09362976	to
431- 86 - 0188	5	TRANSC COMMN MTC	70 NRC2/25/10	09030821 09030825	to
* 431- 86 - 0196	9	DOCKET FILE	58-85 NRC2/28/1	09431643 09431655	to ✓
* 431- 86 - 0197	33	DOCKET FILE	57-85 NRC2/28/1	09230543 09230725	to ✓
431- 86 - 0202	47	COMMN DECSN LICG DOCKET FILE	57-6 NRC2/25/4	10245561 10250A23	to
✓ 431- 86 - 0210	80	LITIG CASE FILE	67-75 NRC2/13/4	09431846 09432241	to ✓
✓ 431- 86 - 0239	15	UNPUB SCIENTIFIC & TECH REPORT	76-8 NRC2/21/17A2	09571345 09571371	to ✓
✓ 431- 86 - 0241	3	THREE MILE ISLAND INFO FILES	3/79 NRC2/23/1A M	09730924 09730926	to ✓
431- 86 - 0242	13	PROGM CORRES	55-75 NRC1/2/2A	10513123 10513143	to
431- 86 - 0255	13	COMTEE MINUTES	76-80 NRC2/3/8A	09819151 09819174	1 to 11
✓ 431- 86 - 0256	3	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	09702715 09702721	to ✓
✓ 431- 86 B 0256	11 15	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	09702723 09702745	to ✓ Boxes 16-19 missing at capture.
✓ 431- 86 D 0256	10	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	09702751 09702764	to ✓
✓ 431- 86 - 0260	1	AGRMT STATE FILE	60-68 NRC2/27/1B	09643741 09643741	to ✓
✓ 431- 86 - 0273	1	PROGM CORRES	60-78 NRC1/2/2A	09631354 09631354	to ✓
431- 86 - 0290	5	PROGM CORRES	62-79 NRC1/2/2A	09844152 09844156	to (NWN D 431-99-2) NUS-431-00-002
431- 86 - 0298	9	COM DECSN LICG DOCKET FL	83 NRC2/25/4	09823044 09823056	to
431- 86 B 0298	95	COM DECSN LICG DOCKET FILE	83 NRC2/25/4	09823062 09823476	to
431- 86 - 0303	5	COMMN DECSN LICG DOCKET FILE	83 NRC2/25/4	09863172 09863176	to
431- 86 - 0311	184	COMMN DECSN LICG DOCKET FILE	59-7 NRC2/25/4	09485566 09490723	to
✓ 431- 86 - 0323	3	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	09210336 09210342	to O/K ✓
✓ 431- 86 - 0324	2	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	09511413 09511414	to O/K ✓
431- 86 - 0367	9	TRANSC COMMN MTC	77-79 NRC2/25/10	09280126 09280142	to
431- 86 - 0368	11	COMMN SECY COMMENT FILE	80 NRC2/25/2A	09395555 09395573	to

Accession Number	Volume	SERIES	Disposal Authority	WNRC Location	Boxes
431- 86- 0372	1	RES PROJ CASE FILE	50-78	N1/431/89/5/4A	09511412 09511412 to
431- 86- 0376	1	PROGM CORRES	57-79	NRC1/2/2A	09511425 09511425 to
431- 86- 0378	90	COMMN DECSN LIGS DOCKET FILE	59-7	NRC2/25/4	09765525 09770150 to
431- 86- 0379	126	COMMN DECSN LIGS FL B1-51&60-133	79	NRC2/25/4	09265540 09270344 to
✓ 431- 87- 0013	17	HIGH/LOW LEVEL DOCKET FILES	84	NRC2/28/1	10191642 10191666 to ✓
431- 88- 0000	12	INVEST FL DX1-12	01-83	NRC2/17/2A	00044311 00044320 to
431- 88- 0009	46	PROGM CORRES	9/59-8/70	NRC1/2/2A	09123834 09123841 to
431- 88- 0017	21	PROGM CORRES	5/61-79	NRC1/2/2A	10443315 10443512 to
* 431- 92- 0012	58	HIGH/LOW LEVEL DOCKET	57-87	NRC2/28/1	09702252 09702475 to ✓
431- 93- 0009	47X58	NRC ISS FILE	79	NRC2/20/8A	09334536 09334761 to ✓ Boxes 1-3, 27-28 missing at capture.
✓ 431- 93- 0054	5	COUNTRY FILE	79-85	NRC2/16/2	14340752 14340756 to ✓
431- 94- 0001	04	PROGM CORRES	77-78	NRC1/2/2A	15300943 15301376 to
431- 94- 0049	13	PROGM CORRES	6/60-70	NRC1/2/2A	18205642 18205662 to
✓ 431- 94- 0052	6	BUDGET FILE	83-9/85	NRC2/10/2A	19715713 19715724 to ✓
431- 94- 0075	3	OFCL DOCKET FILE	6/1080	N1/431/92/2/1A	13844012 13844014 to
Total series: 8139 Total volume: 2383586 cu ft 631.122					



**UNITED STATES
NUCLEAR REGULATORY COMMISSION**
WASHINGTON, D.C. 20555-0001
October 26, 1999

Mr. Richard Wood
Initial Processing and Declassification Division (NWMD)
Room 2600
National Archives at College Park
8601 Adelphi Road
College Park, MD 20740-6001

Dear Mr. Wood:

In response to your June 9, 1999, letter requesting the permanent transfer of U.S. Nuclear Regulatory Commission (NRC) records currently stored at the Washington National Record Center in Suitland, Maryland, to your facility in College Park, Maryland, listed below are the 33 NRC accession numbers, totalling 594 cubic feet of records, that are eligible and approved for permanent transfer:

<u>Accession</u>	<u>Volume</u>	<u>Accession</u>	<u>Volume</u>
431-86-0015	2	431-86-0172	28
431-86-0016	2	431-86-0196	9
431-86-0020	2	431-86-0197	33
431-86-0040	39	431-86-0210	80
431-86-0044	25	431-86-0239	15
431-86-0046	21	431-86-0241	3
431-86-0047	35	431-86-0256	28
431-86-0097	12	431-86-0260	1
431-86-0101	23	431-86-0273	1
431-86-0103	17	431-86-0323	3
431-86-0104	4	431-86-0324	2
431-86-0122	29	431-87-0013	17
431-86-0141	9	431-92-0012	58
431-86-0142	6	431-93-0009	52
431-86-0144	1	431-93-0054	5
431-86-0160	23	431-94-0052	6
431-86-0164	4		

In addition, the following 6 NRC accessions, totalling 36 cubic feet of records, that contain proprietary information are also approved for transfer:

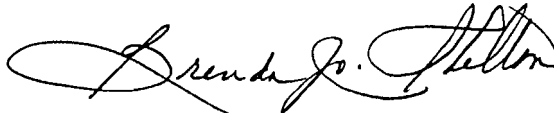
<u>Accession</u>	<u>Volume</u>
431-86-0109	8
431-86-0120	3
431-86-0126	9
431-86-0128	6
431-86-0161	5
431-86-0290	5

The remaining 43 NRC accession numbers included in your listing, totalling 1,733 cubic feet of records, should not be permanently transferred to your facility in College Park, Maryland for the following reasons:

- They continue to bear directly on issues that are still a part of the agency's day to day operations
- They are needed for ongoing research and regulatory decision making
- Regulations require records of each advisory committee to be made available for public inspection and copying at a single location in the offices of the advisory committee or the agency to which the advisory committee reports until the advisory committee ceases to exist
- They contain privacy information that could identify individuals to the public

Please direct any and all future correspondence that pertains to agency records to my attention to ensure prompt and appropriate handling of any requests that might require agency action.

Sincerely,

A handwritten signature in cursive script that reads "Brenda Jo. Shelton". The signature is fluid and stylized, with the first and last names being more prominent than the middle initial.

Brenda Jo. Shelton
NRC Records Officer



UNITED STATES
NUCLEAR REGULATORY COMMISSION

WASHINGTON, D.C. 20555-0001

January 18, 2000

Mr. Richard Wood
Initial Processing and Declassification Division (NWMD)
Room 2600
National Archives at College Park
8601 Adelphi Road
College Park, MD 20740-6001

Dear Mr. Wood:

This responds to an e-mail dated November 1, 1999, from John B. Ellis (NWML) requesting the U.S. Nuclear Regulatory Commission (NRC) to review 43 accessions totalling 1,733 cubic feet of permanent records to determine before they are transferred to the National Archives, if any have an approved retention period of less than 30 years. We have determined that all of the accessions have approved retentions of less than 30 years. As indicated in my letter of October 28, 1999, we request that the disposal authority for the referenced 43 accessions (listed in the enclosure) be extended from 20 years to 30 years for the following reasons:

- They continue to bear directly on issues that still are part of the agency's day to day operations.
- They are needed for ongoing research and regulatory decision making .
- Regulations require records of each advisory committee to be made available for public inspection and copying at a single location in the offices of the advisory committee or the agency to which the advisory committee reports until the advisory committee ceases to exist.
- They contain privacy information that could identify individuals to the public

We will annotate our records for each of the accessions to reflect the change. If you have any questions, please contact Latravetta Lee on (301) 415-5879 or e-mail lm1@nrc.gov.

Sincerely,

A handwritten signature in cursive script, appearing to read "Brenda Jo. Shelton", is written over a horizontal line.

Brenda Jo. Shelton
NRC Records Officer

Enclosure: As stated

cc: John B. Ellis

ACCESSIONS WITH A RETENTION PERIOD LESS THAN 30 YEARS

Accession	Series Title	NARA Citation	Volume
431-86-0012	Comms Chron File	NC1-431-81-5, item 2.1.1	4
431-86-0028	Litigation Case Files	NC1-431-81-5, item 2.4.11	10
431-86-0032	Minutes of the Commtee	NC1-431-81-5, item 3.3	12
431-86-0080	Commr Decsn Lics Files	NC1-431-81-5, item 1.3.16	555
431-86-0107	Commr Decsn Lics Files	NC1-431-81-5, item 1.3.16	59
431-86-0111	Commr Decsn Lics Files	NC1-431-81-5, item 1.3.16	93
431-86-0117	Litigation Case Files	NC1-431-81-5, item 2.4.11	8
431-86-0118	Trans Commn Mtg	NC1-431-81-5, item 2.3.8	7
431-86-0124	General Program Corres	NC1-431-81-5, item 1.2.15	43
431-86-0133	Comm Secy Comment File	NC1-431-81-5, item 2.3.7	10
431-86-0135	Commr Decsn Lics Files	NC1-431-81-5, item 1.3.16	59
431-86-0146	Comm Secy Comment File	NC1-431-81-5, item 2.3.7	14
431-86-0152	Minutes of the Commtee	NC1-431-81-5, item 3.3	14
431-86-0157	Comm Secy Comment File	NC1-431-81-5, item 2.3.7	8
431-86-0158	General Program Corres	NC1-431-81-5, item 1.2.15	6
431-86-0185	General Program Corres	NC1-431-81-5, item 1.2.15	10
431-86-0186	General Program Corres	NC1-431-81-5, item 1.2.15	10
431-86-0187	General Program Corres	NC1-431-81-5, item 1.2.15	8
431-86-0188	Trans Commn Mtg	NC1-431-81-5, item 2.3.8	5
431-86-0202	Commr Decsn Lics Files	NC1-431-81-5, item 1.3.16	47
431-86-0242	General Program Corres	NC1-431-81-5, item 1.2.15	13

ACCESSIONS WITH A RETENTION PERIOD LESS THAN 30 YEARS

Accession	Series Title	NARA Citation	Volume
431-86-0255	Minutes of the Commtee	NC1-431-81-5, item 3.3	13
431-86-0298	Commr Decsn Lics Files	NC1-431-81-5, item 1.3.16	104
431-86-0303	Commr Decsn Lics Files	NC1-431-81-5, item 1.3.16	5
431-86-0311	Commr Decsn Lics Files	NC1-431-81-5, item 1.3.16	184
431-86-0323	Inspec & Enforce Case File	N1-431-92-2, item 1.b	3
431-86-0324	Inspec & Enforce Case File	N1-431-92-2, item 1.b	2
431-86-0367	Trans Commn Mtg	NC1-431-81-5, item 2.3.8	9
431-86-0368	Comm Secy Comment File	NC1-431-81-5, item 2.3.7	11
431-86-0372	RES Proj Case Files	N1-431-89-5, item 4.a	1
431-86-0376	General Program Corres	NC1-431-81-5, item 1.2.15	1
431-86-0378	Commr Decsn Lics Files	NC1-431-81-5, item 1.3.16	90
431-86-0379	Commr Decsn Lics Files	NC1-431-81-5, item 1.3.16	125
431-88-0008	Investigation Case Files	NC1-431-83-6, item 2	12
431-88-0009	General Program Corres	NC1-431-81-5, item 1.2.15	46
431-88-0017	General Program Corres	NC1-431-81-5, item 1.2.15	21
431-94-0001	General Program Corres	NC1-431-81-5, item 1.2.15	94
431-94-0049	General Program Corres	NC1-431-81-5, item 1.2.15	13
431-94-0075	OFCL Docket Files	N1-431-92-2, item 1.a	3



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

January 21, 2000

Ms. Brenda Jo Shelton
Records Officer
Nuclear Regulatory Agency
Washington DC 20555-0001

Dear Ms. Sheldon:

I have received your letter of January 18, 2000 (copy enclosed) requesting an extension of the records retention period for certain Nuclear Regulatory Commission (NRC) records accessions stored at the Washington National Records Center.

My office does not process requests for extension of records retention periods. We concern ourselves mainly with the actual transfer of eligible permanent records to the National Archives. I am therefore referring your letter to Mr. John Ellis of the Life Cycle Management Division within the National Archives. He will be able to assist you in this matter far better than I.

If I may be of any further assistance in the transfer of permanent NRC records to the National Archives, please feel free to contact me at 301-713-7159.

Sincerely,

A handwritten signature in cursive script that reads "Richard E. Wood".

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

June 9, 1999

Ms. Brenda Shelton
Records Officer
Nuclear Regulatory Agency
T-6 F33
11545 Rockville Pike
Rockville MD 20852

Dear Ms. Shelton:

The National Archives and Records Administration (NARA) has completed its review of the permanent records of the Nuclear Regulatory Agency stored at the Washington National Records Center (WNRC) and eligible for transfer to NARA through the year 2001.

As a result of this review, we have prepared the enclosed SF 258, "Agreement to Transfer Records to the National Archives of the United States," covering 2,363 cubic feet of permanent textual records. We believe that this SF 258 covers all textual records of the Nuclear Regulatory Agency currently scheduled as permanent through 2001.

Please review the SF 258 for accuracy, sign it in Block 2A and return it to the following:
Richard Wood
Initial Processing and Declassification Division (NWMD) Room 2600
National Archives at College Park
8601 Adelphi Road
College Park MD 20740-6001.

If you have any questions about these records, please contact Mr. Wood on 301-713-7159. Thank you for your cooperation in this matter.

Sincerely,

JEANNE SCHAUBLE
Director
Initial Processing and Declassification Division

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

1. INTERIM CONTROL NO. (NARA Use Only)

NWMD-431-99-001

TERMS OF AGREEMENT

The records described below and on the attached 3 pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.

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

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

2A. AGENCY APPROVAL

Signature _____ Date _____

3A. NARA APPROVAL

Signature _____ Date _____

2B. NAME, TITLE, MAILING ADDRESS

3B. NAME, TITLE, MAILING ADDRESS

JEANNE SCHAUBLE
Director
Initial Processing and Declassification
Division

RECORDS INFORMATION

4A. RECORDS SERIES TITLE Unclassified records of RG 431 as described on the attached sheet.

4B. DATE SPAN OF SERIES

(Attach any additional description)

5A. AGENCY OR ESTABLISHMENT

Nuclear Regulatory Commission

5B. AGENCY MAJOR SUBDIVISION

5C. AGENCY MINOR SUBDIVISION

5D. UNIT THAT CREATED RECORDS

9. PHYSICAL FORMS

☒ Paper Documents ☐ Posters
☒ Paper Publications ☐ Maps and Charts
☒ Microfilm/Microfiche ☐ Arch/Eng Drawings
☐ Electronic Records ☐ Motion/Sound/Video
☐ Photographs ☐ Other (specify):

5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS

Name:
Telephone Number:

10. VOLUME: 2,363 CONTAINERS:
Cu. Mtr.: Cu.Ft.: A Number: Type:

1. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES
ASAP

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

☒ YES ☐ NO (If no, attach limits on use and justification)

6. DISPOSITION AUTHORITY: See attached sheet.

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

☐ YES ☒ NO (If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? ☒ NO ☐ YES

LEVEL: ☐ Confidential ☐ Secret ☐ Top Secret
SPECIAL MARKINGS: ☐ RD/FRD ☐ SCI ☐ NATO
Other
INFORMATION STATUS: ☐ Segregated ☐ Declassified

14. ATTACHMENTS

☐ Agency Manual Except ☒ Listing of Records Transferred
☐ Additional Description ☐ NA Form 14097 or Equivalent
☐ Privacy Act Notice ☐ Microform Inspection Report
☐ Other (specify): ☐ SF(s) 135

8. CURRENT LOCATION OF RECORDS

☐ Agency (Complete 8A only)
☒ Federal Records Center (Complete 8B only)

8A. ADDRESS:

8B. FRC ACCESSION NUMBER

CONTAINER NUMBERS

FRC LOCATION

See attached list.

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION

RG

16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES

Signature _____

Date _____

17. NATIONAL ARCHIVES ACCESSION NO.

WNRC Project SF 258 List: RG 431

13-May-99

Accession Number	Volume	SERIES	Disposal Authority	WNRC Location	Boxes
431- 86 - 0012	4	COMMRS CHRON FILE 1/78-6/83	NRC2/6/1	10224356 10224363	to
431- 86 - 0015	3	COMMN MEMO FILE 3/72-12/75	NRC2/13/1A	10610562 10610564	to
431- 86 - 0016	2	LITIG CASE FILE 75-79	NRC2/13/4	10224516 10224521	to
431- 86 - 0020	2	LITIG CASE FILE 78	NRC2/13/4	10610565 10610566	to
431- 86 - 0028	10	LITIG CASE FILE 1/76-12/78	NRC2/13/4	10224971 10225114	to
431- 86 - 0032	12	COMTEE MINUTES 1/68-12/76	NRC2/3/8A	10224921 10224936	to
431- 86 - 0040	39	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	10604911 10604973	to
431- 86 - 0044	25	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	10605566 10605752	to
431- 86 - 0046	21	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	10605761 10610A41	to
431- 86 - 0047	35	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	10605146 10605334	to
431- 86 - 0080	140	COMMNR DECSN LICS 59-75	NRC2/25/4	09482532 09483323	to
431- 86 - 0080	139	COMMNR DECSN LICS 59-75	NRC2/25/4	09483326 09483976	to
431- 86 A 0080	260	COMMNR DECSN LICS BX282-541 59-75	NRC2/25/4	09484111 09485322	to
431- 86 B 0080	16	RULEMAKING CASE FILES BX542-557 75	NRC1/2/3A	09485323 09485346	to
431- 86 A 0097	3	PROGM CORRES OFFICE OF SECTY 67-	NRC1/2/2A	09442724 09442726	to
431- 86 C 0097	3	PROGM CORRES OFFICE OF SECTY 67-	NRC1/2/2A	09442732 09442734	to
431- 86 E 0097	1	PROGM CORRES OFFICE OF SECTY 67-	NRC1/2/2A	09442736 09442736	to
431- 86 G 0097	3	PROGM CORRES OFFICE OF SECTY 67-	NRC1/2/2A	09442742 09442744	to
431- 86 I 0097	2	PROGM CORRES OFFICE OF SECTY 67-	NRC1/2/2A	09442751 09442752	to
431- 86 - 0101	23	UNPUB SCIENTIFIC & TECH REPORT 73-7	NRC2/21/17A2	09262974 09263373	to
431- 86 - 0103	17	PROGM CORRES 74-76	NRC1/2/2A	10564321 10564345	to
431- 86 - 0104	4	PROGM CORRES 75-76	NRC1/2/2A	10564173 10564176	to
431- 86 - 0107	59	COMMN DECSN LICS DOCKET FILE 74-7	NRC2/25/4	09643964 09644342	to
431- 86 - 0109	8	NUCL PLANT DOCKET FILE 66-78	N1/431/92/2/1A	10564922 10564933	to
431- 86 - 0111	93	PROGM CORRES 72-77	NRC1/2/2A	10564934 10565366	to
431- 86 - 0117	8	LITIG CASE FILE 76-77	NRC2/13/4	10565525 10565536	to
431- 86 - 0118	7	TRANSC COMMN MTG 76-77	NRC2/25/10	10565541 10565551	to
431- 86 - 0120	3	NUCL PLANT DOCKET FILE 78	N1/431/92/2/1A	10565552 10565554	to
431- 86 - 0122	29	PROGM CORRES OFFICE OF SECTY 70-	NRC1/2/2A	10565555 10570A31	to
431- 86 - 0124	16	PROGM CORRES 75-76	NRC1/2/2A	10570A32 10570131	to
431- 86 B 0124	27	PROGM CORRES 75-76	NRC1/2/2A	10570133 10570175	to
431- 86 - 0126	9	RULE MAKING CASE FILE 62-74	NRC1/2/3A	09562764 09562776	to
431- 86 - 0128	6	NUCL PLANT DOCKET FILE 57-79	N1/431/92/2/1A	10570944 10570953	to
431- 86 - 0133	10	COMMN SECY COMMENT FILE 75-77	NRC2/25/2A	10570954 10570971	to
431- 86 - 0135	59	COMMN DECSN LICS DOCKET FILE 76-7	NRC2/25/4	09651513 09651741	to

Accession Number	Volume	SERIES	Disposal Authority	WNRC Location	Boxes
431- 86 - 0141	9	AGRMT STATE FILE BX4-12 71-79	NRC2/27/1B	09644352 09644364	to
431- 86 - 0142	6	PROGM CORRES 75-78	NRC1/2/2A	09601711 09601716	to
431- 86 - 0144	1	PROGM CORRES 73-76	NRC1/2/2A	09511411 09511411	to
431- 86 - 0146	14	COMMN SECY COMMENT FILE 77-78	NRC2/25/2A	09404123 09404144	to
431- 86 - 0152	14	COMTEE MINUTES 75-79	NRC2/3/8A	09224775 09224926	to
431- 86 - 0157	8	COMMN SECY COMMENT FILE 79	NRC2/25/2A	09431452 09431463	to
431- 86 - 0158	6	PROGM CORRES 78-1/80	NRC1/2/2A	09431442 09431451	to
431- 86 - 0160	23	AGRMT STATE FILE BX1-23 60-78	NRC2/27/1B	09643743 09643921	to
431- 86 - 0161	5	PROGM CORRES 72-80	NRC1/2/2A	09692114 09692122	to
431- 86 - 0164	4	PROGM CORRES 76-77	NRC1/2/2A	09432632 09432635	to
431- 86 - 0172	28	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	09431663 09431836	to
431- 86 - 0185	10	PROGM CORRES OFFICE LEVEL 58-68	NRC1/2/2A	09431625 09431642	to
431- 86 - 0186	10	PROGM CORRES OFFICE LEVEL 58-64	NRC1/2/2A	09885135 09885152	to
431- 86 - 0187	8	PROGM CORRES OFFICE LEVEL 57-68	NRC1/2/2A	09362365 09362376	to
431- 86 - 0188	5	TRANSC COMMN MTG 70	NRC2/25/10	09030821 09030825	to
431- 86 - 0196	9	DOCKET FILE 58-85	NRC2/28/1	09431643 09431655	to
431- 86 - 0197	33	DOCKET FILE 57-85	NRC2/28/1	09230543 09230725	to
431- 86 - 0202	47	COMMN DECSN LICS DOCKET FILE 57-6	NRC2/25/4	10245561 10250A23	to
431- 86 - 0210	80	LITIG CASE FILE 67-75	NRC2/13/4	09431846 09432241	to
431- 86 - 0239	15	UNPUB SCIENTIFIC & TECH REPORT 76-8	NRC2/21/17A2	09571345 09571371	to
431- 86 - 0241	3	THREE MILE ISLAND INFO FILES 3/79	NRC2/23/1A M	09730924 09730926	to
431- 86 - 0242	13	PROGM CORRES 55-75	NRC1/2/2A	10513123 10513143	to
431- 86 - 0255	13	COMTEE MINUTES 76-80	NRC2/3/8A	09813151 09813171	1 to 11
431- 86 - 0256	3	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	09702715 09702721	to
431- 86 B 0256	15	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	09702723 09702745	to
431- 86 D 0256	10	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	09702751 09702764	to
431- 86 - 0260	1	AGRMT STATE FILE 60-68	NRC2/27/1B	09643741 09643741	to
431- 86 - 0273	1	PROGM CORRES 60-78	NRC1/2/2A	09631354 09631354	to
431- 86 - 0290	5	PROGM CORRES 62-79	NRC1/2/2A	09844152 09844156	to
431- 86 - 0298	9	COM DECSN LICS DOCKET FL 83	NRC2/25/4	09823044 09823056	to
431- 86 B 0298	95	COM DECSN LICS DOCKET FILE 83	NRC2/25/4	09823062 09823476	to
431- 86 - 0303	5	COMMN DECSN LICS DOCKET FILE 83	NRC2/25/4	09863172 09863176	to
431- 86 - 0311	184	COMMN DECSN LICS DOCKET FILE 59-7	NRC2/25/4	09485566 09490723	to
431- 86 - 0323	3	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	09210336 09210342	to
431- 86 - 0324	2	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	09511413 09511414	to
431- 86 - 0367	9	TRANSC COMMN MTG 77-79	NRC2/25/10	09280126 09280142	to
431- 86 - 0368	11	COMMN SECY COMMENT FILE 80	NRC2/25/2A	09395555 09395573	to

Accession Number	Volume	SERIES	Disposal Authority	WNRC Location	Boxes
431- 86- 0372	1	RES PROJ CASE FILE 59-78	N1/431/89/5/4A	09511412 09511412	to
431- 86- 0376	1	PROGM CORRES 57-79	NRC1/2/2A	09511425 09511425	to
431- 86- 0378	90	COMMN DECSN LICS DOCKET FILE 59-7	NRC2/25/4	09765525 09770156	to
431- 86- 0379	125	COMMN DECSN LICS FL B1-51&60-133 79	NRC2/25/4	09265546 09270344	to
431- 87- 0013	17	HIGH/LOW LEVEL DOCKET FILES 84	NRC2/28/1	10191642 10191666	to
431- 88- 0008	12	INVEST FL BX1-12 81-83	NRC2/17/2A	08044311 08044326	to
431- 88- 0009	46	PROGM CORRES 9/59-8/78	NRC1/2/2A	09123634 09123841	to
431- 88- 0017	21	PROGM CORRES 5/61-79	NRC1/2/2A	10443315 10443512	to
431- 92- 0012	58	HIGH/LOW LEVEL DOCKET 57-87	NRC2/28/1	09702252 09702475	to
431- 93- 0009	56	NRC ISS FILE 79	NRC2/20/8A	09334536 09334761	to
431- 93- 0054	5	COUNTRY FILE 79-85	NRC2/16/2	14340752 14340756	to
431- 94- 0001	94	PROGM CORRES 77-78	NRC1/2/2A	15300943 15301376	to
431- 94- 0049	13	PROGM CORRES 6/69-79	NRC1/2/2A	18205642 18205662	to
431- 94- 0052	6	BUDGET FILE 83-9/85	NRC2/10/2A	19715713 19715724	to
431- 94- 0075	3	OFCL DOCKET FILE - 6/1980	N1/431/92/2/1A	13844012 13844014	to
Total series: 87 Total volume: 2363 cu ft					



National Archives and Records Administration

*8601 Adelphi Road
College Park, Maryland 20740-6001*

May 20, 2005

Ms. Brenda Jo Shelton
U.S. Nuclear Regulatory Agency
T-5F52
Washington DC 20555-0001

Dear Ms. Shelton:

Enclosed is a copy of Standard Form 258 (our number NN3-431-05-001) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



National Archives and Records Administration

*8601 Adelphi Road
College Park, Maryland 20740-6001*

September 28, 2005

Ms. Brenda Jo Shelton
U. S. Nuclear Regulatory Commission
T-5F52
Washington, DC, 20555-0001

Dear Ms Shelton:

Enclosed is a copy of the Standard Form 258 (our number NN3-431-05-001) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-1647) or by e-mail alex.daverede@nara.gov

Sincerely,

A handwritten signature in cursive script, appearing to read "Alex J. Daverede III".

ALEX J. DAVEREDE III
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure: SF 258 copy



UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

January 19, 2005

Mr. Richard Wood
Initial Processing and Declassification Division (NWMD)
Room 2600
National Archives at College Park
8601 Adelphi Road
College Park, MD 20740-6001

Dear Mr. Wood:

In response to your October 1, 2004, letter requesting the permanent transfer of 358 cubic feet of U.S. Nuclear Regulatory Commission (NRC) records currently stored at the Washington National Record Center (WNRC), we have enclosed the SF 258, "Agreement to Transfer Records to the National Archives of the United States" and your list of unclassified permanent records with lines through 17 accessions, totalling 239 cubic feet of records, that are disapproved for transfer at this time.

The remaining 24 NRC accession numbers, totaling 119 cubic feet of records have been approved for permanent transfer.

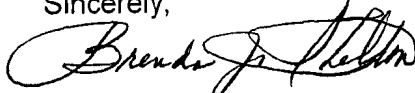
The 17 accessions, totalling 239 cubic feet have been disapproved for the following reasons:

- Six accessions (431-94-0117, 431-94-0119, 431-94-0120, 431-01-0919, 431-01-1068, and 431-03-0109), totalling 134 cubic feet, are currently referenced in the conduct of ongoing agency business.
 - Six accessions (431-94-0118, 431-01-0678, 431-01-0706, 431-01-0707, 431-03-0294, and 431-03-0295), totalling 51 cubic feet, are not eligible for transfer because they must be retained at the agency for the life of the Advisory Committee on Reactor Safeguards (ACRS) and the Advisory Committee on Nuclear Waste (ACNW). As a result of an agreement with NARA and the WNRC, these records will be reviewed at 10 year intervals as long as the ACRS and ACNW exist.
 - Three accessions (431-01-0692, 431-03-0174, and 431-04-0051), totalling 45 cubic feet, are not eligible for transfer at this time because the disposition dates are not until 2011, 20015, and 2021 respectively.
-

- Two accessions (431-01-0642 and 431-01-651) totalling, 10 cubic feet, were incorrectly identified as permanent, rather than temporary records.

If you have any questions, please contact Latravetta Lee at 301-415-633 or e-mail address LML@NRC.GOV.

Sincerely,

A handwritten signature in cursive script, appearing to read "Brenda Jo. Shelton".

Brenda Jo. Shelton
NRC Records Officer

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

1. INTERIM CONTROL NO. (NARA Use Only)

NWMD 05-5615

TERMS OF

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

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

AGREEMENT

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

NW 1/28/05

2A. AGENCY APPROVAL

Signature Brenda Jo. Shelton Date 1/19/05

3A. NARA APPROVAL

Signature Jeanne Schauble Date 1/31/05

2B. NAME, TITLE, MAILING ADDRESS

Brenda Jo. Shelton
U.S. Nuclear Regulatory Commission
T-5F52
Washington, DC 20555-0001

3B. NAME, TITLE, MAILING ADDRESS

JEANNE SCHAUBLE, Director
Initial Processing and Declassification Division
8601 Adelphi Road
College Park, MD 20740-6001

RECORDS INFORMATION

4A. RECORDS SERIES TITLE:

Unclassified Records of the Nuclear Regulatory Commission

4B. DATE SPAN OF SERIES

(Attach any additional description)

5A. AGENCY OR ESTABLISHMENT

Nuclear Regulatory Commission

5B. AGENCY MAJOR SUBDIVISION

5C. AGENCY MINOR SUBDIVISION

5D. UNIT THAT CREATED RECORDS

5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS

Name:
Telephone Number:

9. PHYSICAL FORMS

☒ Paper Documents ☐ Posters
☐ Paper Publications ☐ Maps and Charts
☐ Microfilm/Microfiche ☐ Arch/Eng Drawings
☐ Electronic Records ☐ Motion/Sound/Video
☐ Photographs ☐ Other (specify):

10. VOLUME: CONTAINERS:

Cu. Mtr.: Cu. Ft.: 119 /Number: Type:

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES

As soon as possible

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

☒ YES ☐ NO (If no, attach limits on use and justification)

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

(If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)
☐ YES ☒ NO

14. ATTACHMENTS

☐ Agency Manual Excerpt ☒ Listing of Records Transferred
☐ Additional Description ☐ NA Form 14097 or Equivalent
☐ Privacy Act Notice ☐ Microform Inspection Report
☐ Other (specify): ☐ SF(s) 135

8A. ADDRESS:

8B. FRC ACCESSION NUMBER

See attached list

CONTAINER NUMBERS

FRC LOCATION

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION

RG 431

16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES

Signature Michael S. Wood Date 5/20/05

17. NATIONAL ARCHIVES ACCESSION NO.

NN3-431-05-001

RG	DISP	AFY	ACNO	SUB	VOL	SC	SERIES	DAU	BEGIN LO	ENDING LO
31	2005	86	0006		2		TECHNICAL GENERIC SUBJECT FILES	NRCS1/2/2A	10224514	10224515
31	2005	86	0017		3		LITIG CASE FILE	NRCS2/13/4	10610555	10610561
31	2005	86	0022		6		LITIG CASE FILE	NRCS2/13/4	10224344	10224353
31	2005	86	0025		4		LITIG CASE FILE	NRCS2/13/4	10224372	10224375
31	2005	86	0026		4		LITIG CASE FILE	NRCS2/13/4	10224376	10224513
31	2005	86	0287		7		RESEARCH PROJ CASE FILE	NRCS2/21/13A	09521566	09521576
31	2005	86	0371		5		LITIG CASE FILES	NRCS2/13/4	09733912	09733916
31	2005	93	0066		7		LITIG CASE FILES	NRCS2/13/4	07353665	07353675
31	2005	94	0107		6		PROGM CORRES	NRCS1/2/2A	04842172	04842311
31	2005	94	0117		16		COMMN SECY COMMENT FILE	NRCS2/25/1A	06191932	06191955
31	2005	94	0118		20		COMTEE MINUTES	NRCS2/3/8A	07720A52	07720133
31	2005	94	0119		50		PROGM CORRES	NRCS1/2/2A	07590374	07590715
31	2005	94	0120		50		PROGM CORRES	NRCS1/2/2A	09694061	09694272
31	2005	01	0354		4		INVEST CASE FILE	N1/431/00/2/1A	04220135	04220142
31	2005	01	0639		3		REG HIST CASE FILE	NRCS1/2/3A	05345141	05345143
31	2005	01	0642		5		REG HIST CASE FILE	NRCS1/2/3A	04643134	04643142
31	2005	01	0648		3		REG HIST CASE FILE	NRCS1/2/3A	04075164	04075166
31	2005	01	0651		5		REG HIST CASE FILE	NRCS1/2/3A	04363622	04363626
31	2005	01	0667		1		REG HIST CASE FILE	NRCS1/2/3A	04275414	04275414
31	2005	01	0678		18		PROGM CORRES	N1/431/00/10/8A	04810332	04810361
31	2005	01	0692		15		GEN PROGM CORRES FILES	N1/431/00/9/9A	05562911	05562933
31	2005	01	0706		5		COMTEE MINUTES	NRCS2/3/8A	04803824	04803832
31	2005	01	0707		5		COMTEE MINUTES	NRCS2/3/8A	04550864	04550872
31	2005	01	0817		6		PROGM CORRES	NRCS1/2/2A	05790312	05790321
31	2005	01	0919		4		COMMRS CHRON FILE	N1/431/02/2/1A	04384966	04384973
31	2005	01	0949		6		LITIG CASE FILE	NRCS2/13/4	04230153	04230162
31	2005	01	0956		2		FORM FILE	NRCS2/14/2A	05854216	05854221
31	2005	01	1068		10		SPCL NUCL MATL DOCKET FILE	NRCS2/19/4E	04545461	04545474
31	2005	01	1216		18		SPCL NUCL MATL DOCKET FILE 1/1983	NRCS2/24/4E	04553943	04553972
31	2005	01	1275		12		SPCL NUCL MATL DOCKET FILE	NRCS2/19/4E	08293031	08293046
31	2005	01	1381		1		RES PROGM FILE	NRCS2/21/12A	05325566	05325566
31	2005	01	2220		1		SPCL NUCL MATL DOCKET FILE	NRCS2/24/4E	04130364	04130364
31	2005	01	2227		2		SPCL NUCL MATL DOCKET FILE	NRCS2/24/4E	04395153	04395154

- Box 11 MISSING AT capture, February 16, 2005. Delivered April 14, 2005.

RG	DISP	AFY	ACNO	SUB	VOL	SC	SERIES	DAU	BEGIN_LO	ENDING_LO
431	2005	01	2232		6		SPCL NUCL MATL DOCKET FILE	NRCS2/24/4E	05552722	05552731
431	2005	01	2239		5		SPCL NUCL MATL DOCKET FILE	NRCS2/24/4E	05301975	05302113
431	2005	03	0109 ✓		3		SPCL NUCL MATL DOCKET FILE 7/1975	N1/431/00/13/6B1	07845652	07845654
431	2005	03	0174 ✓		27		SPCL NUCL MATL DOCKET FILE 10/1981	NRCS2/19/4E	07795553	07795761
431	2005	03	0294 ✓		1		NUCL REACTOR PROJ FILE (2007)	N1/431/00/9/11A	07331463	07331463
431	2005	03	0295 ✓		2		AGRS MEET FILE	N1/431/00/9/1A	07331811	07331812
431	2005	04	0025		3		EXPORT/IMPORT LICS DOCKET 12/1988	NRCS2/16/3A	09803226	09803232
431	2005	04	0033		1		INTERNTL ORGAN FILE	N1/431/99/3/9A	10060211	10060211
431	2005	04	0051		3		GOUNTRY FILE	NRCS2/16/2	09550874	09550876
431	2005	04	0082		1		EXPORT/IMPORT LICS DOCKET 04/1994	NRCS2/16/3A	09901512	09901512

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

June 9, 1999

Ms. Brenda Shelton
Records Officer
Nuclear Regulatory Agency
T-6 F33
11545 Rockville Pike
Rockville MD 20852

Dear Ms. Shelton:

The National Archives and Records Administration (NARA) has completed its review of the permanent records of the Nuclear Regulatory Agency stored at the Washington National Records Center (WNRC) and eligible for transfer to NARA through the year 2001.

As a result of this review, we have prepared the enclosed SF 258, "Agreement to Transfer Records to the National Archives of the United States," covering 2,363 cubic feet of permanent textual records. We believe that this SF 258 covers all textual records of the Nuclear Regulatory Agency currently scheduled as permanent through 2001.

Please review the SF 258 for accuracy, sign it in Block 2A and return it to the following:

Richard Wood
Initial Processing and Declassification Division (NWMD) Room 2600
National Archives at College Park
8601 Adelphi Road
College Park MD 20740-6001.

If you have any questions about these records, please contact Mr. Wood on 301-713-7159. Thank you for your cooperation in this matter.

Sincerely,

JEANNE SCHAUBLE
Director
Initial Processing and Declassification Division

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

1. INTERIM CONTROL NO. (NARA Use Only)
NWMD-431-99-002

TERMS OF AGREEMENT

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

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

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

2A. AGENCY APPROVAL

Signature Brenda Jo. Shelton Date 10/25/99

3A. NARA APPROVAL

Signature Jeanne Schauble Date 11/2/99

2B. NAME, TITLE, MAILING ADDRESS

Brenda Jo. Shelton, Records Officer
Nuclear Regulatory Commission
Mail Stop T-6E6
Washington, DC 20555

3B. NAME, TITLE, MAILING ADDRESS

JEANNE SCHAUBLE
Director
Initial Processing and Declassification
Division

RECORDS INFORMATION

4A. RECORDS SERIES TITLE Proprietary records of RG 431 as described on the attached sheet.

4B. DATE SPAN OF SERIES

(Attach any additional description.)

5A. AGENCY OR ESTABLISHMENT

Nuclear Regulatory Commission

5B. AGENCY MAJOR SUBDIVISION

5C. AGENCY MINOR SUBDIVISION

5D. UNIT THAT CREATED RECORDS

5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS

Name: _____
Telephone Number: (____) _____

6. DISPOSITION AUTHORITY:

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? ☒ NO ☐ YES

LEVEL: ☐ Confidential ☐ Secret ☐ Top Secret

SPECIAL MARKINGS: ☐ RD/FRD ☐ SCI ☐ NATO

☐ Other _____

INFORMATION STATUS: ☐ Segregated ☐ Declassified

8. CURRENT LOCATION OF RECORDS

____ Agency (Complete 8A only)

X Federal Records Center (Complete 8B only)

8A. ADDRESS

9. PHYSICAL FORMS

- | | |
|---|---|
| <input checked="" type="checkbox"/> Paper Documents | <input type="checkbox"/> Posters |
| <input type="checkbox"/> Paper Publications | <input type="checkbox"/> Maps and Charts |
| <input type="checkbox"/> Microfilm / Microfiche | <input type="checkbox"/> Arch / Eng Drawings |
| <input type="checkbox"/> Electronic Records | <input type="checkbox"/> Motion / Sound / Video |
| <input type="checkbox"/> Photographs | <input type="checkbox"/> Other (specify): _____ |

10. VOLUME: _____ CONTAINERS: _____

Cu. Mtr. _____ (Cu. Ft. 36) Number _____ Type _____

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

☐ YES ☒ NO (If no, attach limits on use and justification.)

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

☐ YES ☒ NO (If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)

14. ATTACHMENTS

- | | |
|---|--|
| <input type="checkbox"/> Agency Manual Excerpt | <input checked="" type="checkbox"/> Listing of Records Transferred |
| <input type="checkbox"/> Additional Description | <input type="checkbox"/> NA Form 14097 or Equivalent |
| <input type="checkbox"/> Privacy Act Notice | <input type="checkbox"/> Microform Inspection Report |
| <input type="checkbox"/> Other (specify): _____ | <input type="checkbox"/> SF(s) 135 |

8B. FRC ACCESSION NUMBER

CONTAINER NUMBER(S)

FRC LOCATION

See attached list. Highlighted accessions contain proprietary information.
Acc. # 86-0109 box 4 missing at capture. Only accessions marked with a V are covered by this 258. All others covered by UN3-431-00-001

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION

RG

431

16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES

Signature [Signature]

Date 6/1/2000

17. NATIONAL ARCHIVES ACCESSION NO.

NN3-431-00-002

WNRC Project SF 258 List: RG 431

13-May-99

Accession Number	Volume	SERIES	Disposal Authority	WNRC Location	Boxes
431- 86- 0012	4	COMMRS CHRON FILE	1/78-6/83	NRC2/6/1	10224356 10224363 to
431- 86- 0015	1 X	COMMUN MEMO FILE	3/72-12/75	NRC2/13/4	10610562 10610564 to
431- 86- 0016	2	LITIG CASE FILE	75-79	NRC2/13/4	10224516 10224521 to
431- 86- 0020	2	LITIG CASE FILE	78	NRC2/13/4	10610565 10610566 to
431- 86- 0028	10	LITIG CASE FILE	1/76-12/78	NRC2/13/4	10224071 10225114 to
431- 86- 0032	12	COMTEE MINUTES	1/68-12/76	NRC2/3/8A	10224921 10224930 to
431- 86- 0040	39	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	10604911 10604973	to
31- 86- 0044	25	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	10605566 10605752	to
431- 86- 0046	21	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	10605761 10610A41	to
431- 86- 0047	35	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	10605146 10605334	to
431- 86- 0080	140	COMMNR DECSN LICS	59-75	NRC2/25/4	09482532 09483323 to
431- 86- 0080	139	COMMNR DECSN LICS	59-75	NRC2/25/4	09483326 09483976 to
431- 86 A 0080	260	COMMNR DECSN LICS BX282-541	59-75	NRC2/25/4	09484111 09485322 to
431- 86 B 0080	16	RULEMAKING CASE FILES BX542-557	75	NRC1/2/3A	09485323 09485346 to
431- 86 A 0097	3	PROGM CORRES OFFICE OF SECTY	67- NRC1/2/2A	09442724 09442726	to
431- 86 C 0097	3	PROGM CORRES OFFICE OF SECTY	67- NRC1/2/2A	09442732 09442734	to
431- 86 E 0097	1	PROGM CORRES OFFICE OF SECTY	67- NRC1/2/2A	09442736 09442736	to
431- 86 G 0097	3	PROGM CORRES OFFICE OF SECTY	67- NRC1/2/2A	09442742 09442744	to
431- 86 I 0097	2	PROGM CORRES OFFICE OF SECTY	67- NRC1/2/2A	09442751 09442752	to
431- 86- 0101	23	UNPUB SCIENTIFIC & TECH REPORT	73-7 NRC2/21/17A2	09262974 09263373	to
431- 86- 0103	17	PROGM CORRES	74-76 NRC1/2/2A	10564321 10564345	to
431- 86- 0104	4	PROGM CORRES	75-76 NRC1/2/2A	10564173 10564176	to
431- 86- 0107	59	COMMUN DECSN LICS DOCKET FILE	74-7	NRC2/25/4	09643064 09644342 to
✓ 431- 86- 0109	7	NUCL PLANT DOCKET FILE	66-78 N1/431/92/2/1A	10564922 10564933 ✓	to
431- 86- 0111	93	PROGM CORRES	72-77	NRC1/2/2A	10564934 10565366 to
431- 86- 0117	8	LITIG CASE FILE	76-77	NRC2/13/4	10565525 10565536 to
431- 86- 0118	7	TRANSC COMMN MTG	76-77	NRC2/25/40	10565541 10565551 to
✓ 431- 86- 0120	3	NUCL PLANT DOCKET FILE	78 N1/431/92/2/1A	10565552 10565554 ✓	to
431- 86- 0122	29	PROGM CORRES OFFICE OF SECTY	70- NRC1/2/2A	10565555 10570A31	to
431- 86- 0124	16	PROGM CORRES	75-76	NRC1/2/2A	10570A32 10570131 to
431- 86 B 0124	27	PROGM CORRES	75-76	NRC1/2/2A	10570133 10570175 to
✓ 431- 86- 0126	9	RULE MAKING CASE FILE	62-74 NRC1/2/3A	09562764 09562776 ✓	to
✓ 431- 86- 0128	6	NUCL PLANT DOCKET FILE	57-79 N1/431/92/2/1A	10570944 10570953 ✓	to
431- 86- 0133	10	COMMUN SECY COMMENT FILE	75-77	NRC2/25/2A	10570954 10570974 to
431- 86- 0135	59	COMMUN DECSN LICS DOCKET FILE	76-7	NRC2/25/4	09651513 09651741 to

Box 4 missing at capture.

Accession Number	Volume	SERIES	Disposal Authority	WNRC Location	Boxes
431- 86 - 0141	9	AGRMT STATE FILE BX4-12 71-79	NRC2/27/1B	09644352 09644364	to
431- 86 - 0142	6	PROGM CORRES 75-78	NRC1/2/2A	09601711 09601716	to
431- 86 - 0144	1	PROGM CORRES 73-76	NRC1/2/2A	09511411 09511411	to
431- 86 - 0146	14	COMMN SECY COMMENT FILE 77-78	NRC2/25/2A	09404123 09404144	to
431- 86 - 0152	14	GOMTEE MINUTES 75-79	NRC2/3/8A	09224775 09224926	to
431- 86 - 0157	8	COMMN SECY COMMENT FILE 79	NRC2/25/2A	09431452 09431463	to
431- 86 - 0158	6	PROGM CORRES 78-1/80	NRC1/2/2A	09431442 09431451	to
431- 86 - 0160	23	AGRMT STATE FILE BX1-23 60-78	NRC2/27/1B	09643743 09643921	to
431- 86 - 0161	5	PROGM CORRES 72-80	NRC1/2/2A	09692114 09692122	to ✓
31- 86 - 0164	4	PROGM CORRES 76-77	NRC1/2/2A	09432632 09432635	to
431- 86 - 0172	28	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	09431663 09431836	to
431- 86 - 0185	10	PROGM CORRES OFFICE LEVEL 58-68	NRC1/2/2A	09431625 09431642	to
431- 86 - 0186	10	PROGM CORRES OFFICE LEVEL 58-64	NRC1/2/2A	09885135 09885162	to
431- 86 - 0187	8	PROGM CORRES OFFICE LEVEL 57-68	NRC1/2/2A	09362365 09362376	to
431- 86 - 0188	5	TRANSC COMMN MTC 70	NRC2/25/10	09030821 09030825	to
* 431- 86 - 0196	9	DOCKET FILE 58-85	NRC2/28/1	09431643 09431655	to
* 431- 86 - 0197	33	DOCKET FILE 57-85	NRC2/28/1	09230543 09230725	to
431- 86 - 0202	47	COMMN DECSN LIGS DOCKET FILE 57-6	NRC2/25/4	10245561 10250A23	to
431- 86 - 0210	80	LITIG CASE FILE 67-75	NRC2/13/4	09431846 09432241	to
431- 86 - 0239	15	UNPUB SCIENTIFIC & TECH REPORT 76-8	NRC2/21/17A2	09571345 09571371	to
431- 86 - 0241	3	THREE MILE ISLAND INFO FILES 3/79	NRC2/23/1A M	09730924 09730926	to
431- 86 - 0242	13	PROGM CORRES 55-75	NRC1/2/2A	10513123 10513143	to
431- 86 - 0255	13	GOMTEE MINUTES 76-80	NRC2/3/8A	09813151 09813174	1 to 11
31- 86 - 0256	3	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	09702715 09702721	to
431- 86 B 0256	15	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	09702723 09702745	to
431- 86 D 0256	10	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	09702751 09702764	to
431- 86 - 0260	1	AGRMT STATE FILE 60-68	NRC2/27/1B	09643741 09643741	to
431- 86 - 0273	1	PROGM CORRES 60-78	NRC1/2/2A	09631354 09631354	to
✓ 431- 86 - 0290	5	PROGM CORRES 62-79	NRC1/2/2A	09844152 09844156	to ✓
431- 86 - 0298	8	COM DECSN LIGS DOCKET FL 83	NRC2/25/4	09823044 09823056	to
431- 86 B 0298	95	COM DECSN LIGS DOCKET FILE 83	NRC2/25/4	09823062 09823476	to
431- 86 - 0303	5	COMMN DECSN LIGS DOCKET FILE 83	NRC2/25/4	09863172 09863176	to
431- 86 - 0311	184	COMMN DECSN LIGS DOCKET FILE 59-7	NRC2/25/4	09485566 09498723	to
✓ 431- 86 - 0323	3	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	09210336 09210342	to
✓ 431- 86 - 0324	2	INSPEC & ENFORCE CASE FILE	N1/431/92/1/1B	09511413 09511414	to
431- 86 - 0367	9	TRANSC COMMN MTC 77-79	NRC2/25/10	09280126 09280142	to
431- 86 - 0368	11	COMMN SECY COMMENT FILE 80	NRC2/25/2A	09395555 09395573	to

Accession Number	Volume	SERIES		Disposal Authority	WNRC Location	Boxes
431- 86- 0372	1	RES PROJ CASE FILE	50-78	N1/431/89/5/4A	09511412 09511412	to
431- 86- 0376	1	PROGM CORRES	57-79	NRC1/2/2A	09511425 09511425	to
431- 86- 0378	90	COMMN DECSN LIGS DOCKET FILE	59-7	NRC2/25/4	09765525 09770156	to
431- 86- 0379	125	COMMN DECSN LIGS FL B1-51&60-133	79	NRC2/25/4	09265540 09270344	to
431- 87- 0013	17	HIGH/LOW LEVEL DOCKET FILES	84	NRC2/28/1	10191642 10191666	to
431- 88- 0000	12	INVEST FL BX1-12	01-03	NRC2/17/2A	00044911 00044920	to
431- 88- 0009	46	PROGM CORRES	9/59-8/78	NRC1/2/2A	09123834 09123841	to
431- 88- 0017	21	PROGM CORRES	5/61-79	NRC1/2/2A	10443315 10443512	to
431- 92- 0012	58	HIGH/LOW LEVEL DOCKET	57-87	NRC2/28/1	09702252 09702475	to
431- 93- 0009	5/58	NRC ISS FILE	79	NRC2/20/8A	09334536 09334761	to
431- 93- 0054	5	COUNTRY FILE	79-85	NRC2/16/2	14340752 14340756	to
431- 94- 0001	04	PROGM CORRES	77-78	NRC1/2/2A	15300943 15301376	to
431- 94- 0049	13	PROGM CORRES	6/69-79	NRC1/2/2A	18205642 18205662	to
431- 94- 0052	6	BUDGET FILE	83-9/85	NRC2/10/2A	19715713 19715724	to
431- 94- 0075	3	OFCL DOCKET FILE	6/1080	N1/431/92/2/1A	13844012 13844014	to

Total series: ~~27~~ 6 Total volume: ~~2365~~ 35 cu ft 37.695

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

The Honorable Richard Meserve
Chairman
Nuclear Regulatory Commission
Washington, DC 20555

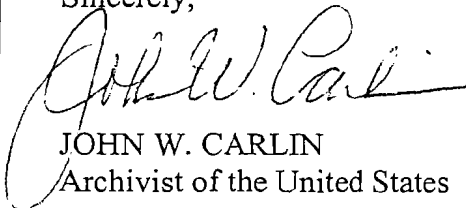
Dear Mr. Meserve:

I am pleased to inform you that the National Archives and Records Administration (NARA) has selected the Nuclear Regulatory Commission (NRC) to receive an Archivist's Achievement Award in Records Management. This award is in recognition of NRC's development and implementation of the Agency-wide Documents Access and Management System (ADAMS). The award, one of four NARA awards I will present this year to Federal agencies, will be presented to NRC at NARA's annual records management conference (RACO 2003) on Tuesday, May 13, 2003.

Ms. Brenda Shelton, NRC's records officer, has been informed of the award and has been asked to arrange for an individual to accept it at RACO 2003. I would also like to extend an invitation to you to attend the conference. If you are able to do so, please contact Nina Frederick on 301-837-1718 or by email at nina.frederick@nara.gov to make arrangements and for additional information.

Congratulations to the records management staff at the Nuclear Regulatory Commission for developing and implementing ADAMS and for earning this important award.

Sincerely,



JOHN W. CARLIN
Archivist of the United States

The Honorable Richard Meserve
Chairman
Nuclear Regulatory Commission
Washington, DC 20555

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Congratulations to the records management staff at the Nuclear Regulatory Commission for developing and implementing ADAMS and for earning this important award.

Sincerely,
JOHN W. CARLIN

JOHN W. CARLIN
Archivist of the United States

Official file—NWML
Day file—NWML
Day file—N

cc: Ms. Brenda Shelton
Nuclear Regulatory Commission
T-6 F33
11545 Rockville Pike
Rockville MD 20852

John Ellis
Chris Cwyner

Prep: Frederick
File: 1305-1
S:/RACO/RACO 2003/Award Nominations/NRC letter

Nf/sg/05/05/03

January 3, 2001

Ms. Brenda J. Shelton
Records Officer
Nuclear Regulatory Commission
Washington, D.C. 20555-0001

Dear Ms. Shelton:

Thank you for your comments and suggestions of December 13, 2000, regarding NARA's latest Fast Track Guidance Development products. Your comments were excellent. We will be sure to consider them as we continue to provide guidance to Federal agencies on electronic records management.

We commend the Nuclear Regulatory Commission (NRC) for being one of the first agencies to embark on the monumental task of implementing an ERM system. The lessons that you have learned and are still learning would be of great benefit to many other agencies.

We look forward to working with you and other NRC staff on the challenges of the new millennium. If you have further questions or comments about this or other records issues, please contact John B. Ellis on 301-713-7100 ext. 243.

Sincerely,

MICHAEL L. MILLER
Director
Modern Records Programs

Official File - NWML
Reading File - NWML
NWM

Je/sg/01/03/01

1301-1a Nuclear Regulatory Commission

Doc:s:\correspondence\Tk-u Brenda Shelton



**UNITED STATES
NUCLEAR REGULATORY COMMISSION**
WASHINGTON, D.C. 20555-0001

December 13, 2000

Mr. Michael Miller, Director
Modern Records Programs
National Archives at College Park
8601 Adelphi Road
College Park, MD 20740-6001

Dear Mr. Miller:

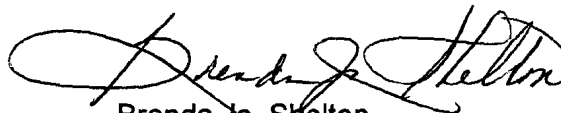
Thank you for the opportunity to respond to your November 27, 2000, Memorandum to Agency Records Officers soliciting comments and suggestions on four Fast Track Guidance Development products. The U.S. Nuclear Regulatory Commission (NRC) has reviewed these products and finds them helpful and very informative. Several years ago when we embarked on our journey to develop and implement an agencywide Electronic Records Management (ERM) system at the NRC, there were no road maps or tools available to assist us in making decisions regarding whether to choose this course. We commend NARA for attempting to fill this void by developing guidance documents to assist other agencies who are contemplating embarking on a similar journey.

Having attempted to implement an ERM at our agency, we possess considerable knowledge regarding issues that need to be considered when evaluating whether to attempt such a project. We believe that these products are very comprehensive and address most of the major areas that should be considered. However, we also believe that there are two areas that need to be added or enhanced in these products.

The first area is software customization. The current trend in automation is to use Commercial-Off-The-Shelf (COTS) software in an attempt to plug-in a solution for each requirement established for an ERM. However, the use of the COTS approach still requires significant customization of the core product to integrate the various "plug-in" products. In addition other requirements may necessitate the development and integration of specialized modules that result in significant recurring and non-recurring costs. Both the initial development costs as well as the recurring cost of integrating these custom pieces each time the COTS product is updated and a new version is implemented needs to be considered before deciding to implement an ERM.

er area that we believe needs to be added to these documents is the evolving area of accessibility. The expected December publication of Electronic and Information Technology Accessibility Standards developed by the Architectural and Transportation Barriers Compliance Board as required by section 508 of the Rehabilitation Act will create a set of new requirements that should be added to these products. We believe that the final version of these products should include any new requirements that result from the publication of the accessibility standards. For example, decisions will need to be made regarding format for retention of records. The format selected will not only be required to preserve records in accordance with NARA standards, but should also be conducive to access by the handicapped. The costs incurred to meet both requirements should be factored into these products.

Sincerely,

A handwritten signature in black ink, appearing to read "Brenda Jo. Shelton". The signature is fluid and cursive, with a large initial "B" and "S".

Brenda Jo. Shelton
NRC Records Officer

cc: John B. Ellis



NUCLEAR REGULATORY COMMISSION

WASHINGTON, D. C. 20555

January 22, 2001

John Ellis, Archivist
Modern Records Life Cycle Division (NWML)
National Archives at College Park
8601 Adelphi Road
College Park, Maryland 20740-6001

Dear Mr. Ellis:

The U.S. Nuclear Regulatory Commission (NRC) submits for your review and processing the enclosed three Standard Form (SF) 115s; one for the programmatic records of the Office of the Commission (OCM), and two for the programmatic records of the Office of the Secretary of the Commission (SECY). Note that the OCM schedule and one SECY schedule contain non-Agencywide Documents Access and Management System (ADAMS) series, and that the second SECY schedule contains SECY records series that will be maintained electronically in ADAMS. Please contact John Harris on 301/415-5885, or e-mail JAH3, with any questions or to coordinate a review.

Sincerely,

A handwritten signature in cursive script, reading "Brenda J. Shelton", is positioned above the typed name and title.

Brenda J. Shelton, Chief
Records Management Branch
Information Management Division
Office of the Chief Information Officer

Enclosures: As stated

August 2, 2001

Ms. Lynn Scattolini
Director, Information Management Division
Office of the Chief Information Officer
Nuclear Regulatory Commission
Washington, DC 20555-0001

Dear Ms. Scattolini:

On behalf of the Life Cycle Management Division of the National Archives and Records Administration (NARA), I want to thank you and your staff, Wayne Davis and John Harris, for the July 25th briefing on and demonstration of the Agencywide Documents Assess and Management System (ADAMS). The briefing addressed concerns outlined in Marie Allen's September 27, 2000 letter and was very interesting and helpful. Now that these concerns have been addressed, the process of appraising the remaining and any new ADAMS schedules will be easier.

As you know, NARA does not "certify" electronic record keeping systems, but approval of a schedule may involve certain assumptions about the effective operation of a system. There are three scheduling issues that need to be addressed. First, a SF 115 should be submitted to cover all the dirty OCR. The SF 115 should include items for the permanent records and for the temporary records. Second, records that are created by the NRC staff that are not included in the official file, but are more than what NARA declares as nonrecord, should be scheduled. And third, the CD-ROM versions of FSARs that are declared the official record copy need to be scheduled.

While the primary purpose of our visit was to address concerns about the ADAMS system so as to facilitate approval of outstanding schedules, we feel it important to reiterate a couple of other system-related observations made during our visit. First, NRC implementation basically only uses the ForeMost application for creation and processing of disposition instructions; the bulk of other records management functionalities are accomplished via the FileNet electronic document management application. In such application-partnered solutions to electronic records management, care must be taken to ensure that the integration accounts for all required records management activities (such as those specified in DoD 5015.2-STD). Second, please confirm that use of the customized 'unfile' ForeMost function creates an entry in the application's audit log. The requirement for this audit is found in Section C2.2.11.1 of the DoD standard. For further clarification, there are two sites that will be helpful. The first is the JITC site. Please refer to Test Case # 7-1 System Audits in DoD 5015.2-STD RMA Certification Test Cases. The URL is <http://jitc.fhu.disa.mil/recmgt/>. Scroll down to the section entitled RMA Certification Test and Evaluation (CTE) Process and Procedures, and download JITC Test Procedures. The

second site is the ForeMost Re-certification Summary Report, Section 3.13 System Audits. The URL is <http://jrtc.fhu.disa.mil/recmgt/4most1.02/index.html>.

The system-related observations will have no bearing on the appraisal of the ADAMS schedules. They are presented purely for informational purposes. I look forward to working with you and the NRC records staff.

Sincerely,

LESLIE S. FARKAS
Senior Records Analyst
Life Cycle Management Division

Official File – NWML
Reading File - NWML

File 1301-1a - _____

cc: Leslie S. Farkas
John Ellis
Mark Giguere
Susan Elter
Tom Brown (NWME)
N1-431-99-9
N1-431-00-1
N1-431-00-19

LF/jh/08/02/2001

s:\correspondence\431scattolini4.doc

File 1301-1a – Nuclear Regulatory Commission

From: Leslie Farkas
To: John Harris
Date: 10/17/01 11:45AM
Subject: N1-431-01-2 Office of the Secretary

John-

I have started the review of the above schedule. I have two questions--

1. Item 4 Narrative History why was the transfer time changed from 10 to 20 years?
2. Item 6 Rulemaking Docket Files why was the retention period changed from 5 to 10 years?

Thanks,

leslie

Leslie S. Farkas
Senior Records Analyst
Life Cycle Management Division
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740-6001

301-713-7110 x 232
leslie.farkas@nara.gov

From: "John Harris" <JAH3@nrc.gov>
To: <LESLIE.FARKAS@nara.gov>
Date: 11/13/2001 1:33 PM
Subject: Re: N1-431-01-2 Office of the Secretary

Leslie,

I have researched the SECY files and found their original explanation for the changes in Item 4 Narrative History, and Item 6 Rulemaking Docket Files.

In a February 16, 1999, memorandum from the Secretary of the Commission to the Chief Information Officer, they explained that "We believe that the retention periods for Commission records are too short based upon the experience wh have gained since the creation of the current schedules in the early 1980's and the fact that sensitive unclassified records cannot be separated from other records in the same series. We have, therefore, taken this opportunity to make changes in the existing schedule for paper records and the proposed schedule for ADAMS records."

Let me know if you need to discuss this further.

Thanks.

>>> "Leslie Farkas" <LESLIE.FARKAS@nara.gov> 10/17/01 11:45:54 AM >>>
John-

I have started the review of the above schedule. I have two questions--

1. Item 4 Narrative History why was the transfer time changed from 10 to 20 years?
2. Item 6 Rulemaking Docket Files why was the retention period changed from 5 to 10 years?

Thanks,

leslie

Leslie S. Farkas
Senior Records Analyst
Life Cycle Management Division
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740-6001

301-713-7110 x 232
leslie.farkas@nara.gov



November 3, 2003

John Ellis, Archivist
Modern Records Life Cycle Division (NWML)
National Archives at College Park
8601 Adelphi Road
College Park, Maryland 20740-6001

Dear Mr. Ellis:

The U.S. Nuclear Regulatory Commission (NRC) submits the enclosed Standard Form (SF) 115 for an exception to General Records Schedule (GRS) 20-10, "Special Purpose Programs." The NRC is evaluating its older electronic information systems and has found that many could be deleted if GRS 20-10 were revised to include older systems that have been superseded by newer applications that perform essentially the same functions. If you have any questions, please contact John Harris on 301-415-7228 or by e-mail to JAH3@nrc.gov.

Sincerely,

A handwritten signature in black ink, which appears to read "Brenda J. Shelton". The signature is fluid and cursive, with a large loop at the end.

Brenda J. Shelton, Chief
Records and FOIA/Privacy Services Branch
Information and Records Services Division
Office of the Chief Information Officer

Enclosure: As stated



NUCLEAR REGULATORY COMMISSION

WASHINGTON, D.C. 20555-0001

May 24, 2005

Arian Ravanbakhsh, Senior Records Analyst
Modern Records Life Cycle Division (NWML)
National Archives at College Park
8601 Adelphi Road
College Park, Maryland 20740-6001

Dear Mr. Ravanbakhsh:

The U.S. Nuclear Regulatory Commission (NRC) submits for your review and processing the enclosed Standard Form (SF) 115 for NRC's unscheduled programmatic and administrative systems that have been terminated and superseded by subsequent systems. Please contact Joda Holt on 301-415-7403, or e-mail jd3@nrc.gov, with any questions.

Sincerely,

A handwritten signature in cursive script, reading "Brenda J. Shelton".

Brenda J. Shelton, Chief
Records and FOIA/Privacy Services Branch
Information and Records Services Division
Office of the Chief Information Officer

Enclosure: As stated

From: "Brenda Shelton" <BJS1@nrc.gov>
To: <jill.glenewinkel@nara.gov>
Date: 4/24/06 11:25AM
Subject: NRC Records Appraiser

Jill,

I understand that you are now the NRC Records Appraiser and that we are to receive a monthly report of the pending records disposition schedules NARA has for action. Please note that we have not seen a report for some time and would like to know if your records show any pending NRC schedules. We recently lost most of our records management staff and the Section Chief and are trying to determine from the files the status of several actions involving disposition schedules. Please let me know if you have any questions. You can reach me via e-mail or via phone at 301-415-7233.

Thank you,
BS

CC: "David Pinckney" <DBP1@nrc.gov>, "Jeffrey Bartlett" <JLB1@nrc.gov>

From: "Brenda Shelton" <BJS1@nrc.gov>
To: <jill.glenewinkel@nara.gov>
Date: 4/25/06 3:01PM
Subject: Re: NRC Records Appraiser

Jill,

We are located in Rockville, MD on Rockville Pike, which is off Randolph Rd, which intersects New Hampshire Ave, which intersects Adelphi Rd. traveling West and North. If your sense of direction is like mine, this information means nothing to you.

We will check our files to see if we find any evidence of any other pending schedules and will let you know.

Take care,
BS

>>> "Jill Glenewinkel" <jill.glenewinkel@nara.gov> 04/25/06 2:51 PM >>>
Hi, Brenda,

Lucky you on retirement plans!!! Must say that I'm jealous!

Where are you located? I'd enjoy meeting with you and your staff. Let me know what issues you are facing....

I've checked our list of SF 115s from NRC. There's only the one job, N1-432-05-1 that relates to the superseded electronic systems. I'm doing the follow-up required on it to complete the process, resulting from other staff leaving our unit.

Bye for now. Yes, stay in touch.

JILL

>>> "Brenda Shelton" <BJS1@nrc.gov> 04/25/06 02:37PM >>>
Jill,

Thanks. When you get a chance, I would like you to meet the staff. Right now we are trying to fill 4 vacancies in the Records Section, including the Section Chief, GG-14 position. I also plan to retire in January 2007 and want to ensure that my replacement and the Section Chief meet you before I leave. I will keep in touch.

Thanks for your timely response.

BS

>>> "Jill Glenewinkel" <jill.glenewinkel@nara.gov> 04/25/06 11:41 AM >>>
Hi, Brenda,

Good to meet you. Thanks for the message. Yes, I'm now your records management contact and look forward to being of assistance.

Yes, you are to receive a monthly report informing you of the status of jobs. Expect one from me at the

beginning of the month, first week in May, since I just received your agency. At this point, I can tell you that I've only received notice that one appraisal report is in the works (N1-431-05-1) relating to administrative/programmatic systems. It appears to be ready for publication in the Federal Register....I'll send you a note when I find out more details.

Please let me know if you have submitted other SF115s that I must follow-up on. I'll also check with my colleagues here....

Bye for now. Looking forward to working with you.
Call/email anytime!!

Kind regards,

JILL
Jill D. Glenewinkel
Archivist
Life Cycle Management Division
National Archives at College Park, MD
301-837-1754

>>> "Brenda Shelton" <BJS1@nrc.gov> 04/24/06 11:25AM >>>
Jill,

I understand that you are now the NRC Records Appraiser and that we are to receive a monthly report of the pending records disposition schedules NARA has for action. Please note that we have not seen a report for some time and would like to know if your records show any pending NRC schedules. We recently lost most of our records management staff and the Section Chief and are trying to determine from the files the status of several actions involving disposition schedules. Please let me know if you have any questions. You can reach me via e-mail or via phone at 301-415-7233.

Thank you,
BS

From: Jill Glenewinkel
To: BJS1@nrc.gov
Date: 5/2/06 4:22PM
Subject: 'NRC.MonthlyStatusReport'

Hi, Brenda,

Hope you are having a good afternoon. Here's the status report about your job.

Talk with you soon,

JILL

[illegible]

From: Jill Glenewinkel
To: Pinckney, David
Date: 5/25/06 10:20AM
Subject: Re: Information stored on CD-ROMS

Hi, David,

I'm forwarding your e-mail to my colleague, John Powell, who works with electronic records and their transfer requirements. May I suggest that you refer to our electronic records guidance pages prior to contacting him? It identifies transfer/format requirements for particular records. Please also be aware that there are scanning resolution requirements for permanent records. <http://www.archives.gov/records-mgmt/initiatives/erm-guidance.html>

And, the good news for all of us is that NARA is interested in accepting your electronic records as a pre-accession (meaning transferring to NARA much earlier than the original paper record). Let me know more details so we can talk about the records, not just the electronic requirements, ok?

Have a good day.

Kind regards,

JILL
Jill D. Glenewinkel
Archivist
Life Cycle Management Division
National Archives at College Park, MD
301-837-1754

>>> "David Pinckney" <DBP1@nrc.gov> 05/24/06 12:02PM >>>
Hello Jill,

I am trying to find out some information on information stored on CD-ROMS. Some of the information that I am trying to locate is as follows:

- longevity for storing information on CD-ROMs, and
- what the current NARA transfer media are.

Do you have any information on this subject or can you refer me to anyone?

Thanks In Advance,
David Pinckney, Records Analyst
USNRC/IRSD/RFPSB/RASS
Telephone: (301)415-5637

CC: Staden, Matt CIV CNO-OPNAV ,DNS5

From: Jill Glenewinkel
To: bjs1@nrc.gov
Date: 6/6/06 11:48AM
Subject: June 2006 NRC.MonthlyStatusReport.xls

Hi, Brenda,

Hope all is well. Here's the monthly report.

Let me know if I can be of assistance.

Bye for now,

JILL

[illegible]

From: Jill Glenewinkel
To: Shelton, Brenda
Date: 6/6/06 12:31PM
Subject: Re: June 2006 NRC.MonthlyStatusReport.xls

One of those busy days if I recall ! (smile) But, Brenda, I do want to come for a visit to introduce myself and to learn about your records management concerns. Are any of these possibilities?

June 14 pm

June 19 am

June 26 anytime

June 28 anytime

Let me know. Did you say that you are in Rockville?

Talk with you later,

JILL

>>> "Brenda Shelton" <BJS1@nrc.gov> 06/06/06 12:24PM >>>
Jill,

I don't know how we missed each other at RACO. We will still need to get together.

BS

Brenda Jo. Shelton

>>> "Jill Glenewinkel" <jill.glenewinkel@nara.gov> 06/06/2006 11:48 AM >>>

Hi, Brenda,

Hope all is well. Here's the monthly report.

Let me know if I can be of assistance.

Bye for now,

JILL

[illegible]

From: Jill Glenewinkel
To: Shelton, Brenda
Date: 7/20/06 12:27PM
Subject: Re: NRC Records Manual

Hi, Brenda,

Let's try the Aug. 1 in the afternoon, ok?

Could you send an electronic version of your current disposition manual? And, one later on, OK?

Much appreciated!! And looking forward to meeting you, too!

Bye for now,

JILL

>>> "Brenda Shelton" <BJS1@nrc.gov> 07/20/06 10:17 AM >>>
Jill,

I am sorry I failed to respond about the link. We do not have our management directives on line on our public site. We are currently revising our records management directive to incorporate document management. It will be issued as a management directive with two handbooks, one on records and one on document management. It is currently in final concurrence and is scheduled to be issued the end of the fiscal year. Are you interested in a copy of the current one or do you want to receive a copy (hard or electronic) once the pending one is issued?

I will have the secretary look at scheduling the meeting on the first because I will be on travel Aug 3-10.

Looking forward to seeing you,
BS

Brenda Jo. Shelton

>>> "Jill Glenewinkel" <jill.glenewinkel@nara.gov> 07/20/2006 9:21 AM >>>

Hi, Brenda,

Congratulations on your decision to retire!! Boy, I bet you are looking forward to that....

Yes, I'd like to meet with you and Margaret. I'm somewhat flexible the first two weeks in August. How about Aug 1, Aug 8 or 9?

I'll get back with you about your hyperlinks question. Perfect timing since I have a meeting with electronic records folks at NARA this morning!

And, what about the manual? Is it online and what is its link?

Will be back in touch. Have a good one, Brenda.

JILL

>>> "Brenda Shelton" <BJS1@nrc.gov> 07/20/06 8:26 AM >>>
Jill,

I don't know if I mentioned it to you, but I am retiring January 3, 2007, and I am transitioning out. My replacement, Margaret Janney, has already assumed responsibility for the branch. Therefore she is your new point of contact for NRC records matters. I forwarded the monthly status report to her. We will get a meeting set up so we can meet and you can let Margie know your role in providing service to the NRC. I was going to contact you anyway because we have a question about the use of hyperlinks in records that will be transferred (we relinquish ownership) to NARA in accordance with our records disposition schedules. There is a high interest in generating and receiving electronic files with hyperlinks between/among files. Can you give me NARA current take on this and the regulatory reference? Appreciate it.

Thanks,
BS

Brenda Jo. Shelton

>>> "Jill Glenewinkel" <jill.glenewinkel@nara.gov> 07/19/2006 5:44 PM >>>

Hi, Brenda,

Hope all is well with you. Could you please provide me with the link to your records manual? Is it online?

Also, I seem to have misplaced your phone number. Would you please send it to me?

Thanks much and talk with you later,

JILL

From: Jill Glenewinkel
To: Glenewinkel, Jill; Shelton, Brenda
Date: 7/20/06 5:52PM
Subject: Re: NRC Records Manual

Hi, Brenda,

Regarding your hyperlinks question---
I require more specifics. What type of e-records are you speaking of? Websites? Word?

NARA does not accept documents transferred in Word. PDF is the accepted format for textual records and of course we have resolution requirements for those. General rule is that you should also scan the documents referred to in the links.

If you are referring to databases that have "layers" of information--yes, those records must be accessible.

What I've stated is very general so best to provide me with more information.

Let me know.....

Talk with you later,

JILL

>>> Jill Glenewinkel 07/20/06 9:21 AM >>>
Hi, Brenda,

Congratulations on your decision to retire!! Boy, I bet you are looking forward to that....

Yes, I'd like to meet with you and Margaret. I'm somewhat flexible the first two weeks in August. How about Aug 1, Aug 8 or 9?

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Thanks,
BS

Brenda Jo. Shelton

>>> "Jill Glenewinkel" <jill.glenewinkel@nara.gov> 07/19/2006 5:44 PM >>>

Hi, Brenda,

Hope all is well with you. Could you please provide me with the link to your records manual? Is it online?

Also, I seem to have misplaced your phone number. Would you please send it to me?

Thanks much and talk with you later,

JILL

From: Jill Glenewinkel
To: Powell, John; Shelton, Brenda
Date: 7/25/06 5:02PM
Subject: Re: NRC Records Manual

Brenda,
John is an archivist for our electronic records branch. He has greater knowledge about transfer issues and may be able to assist you.

John,
Can you please respond to Brenda's concerns with links in PDF files? If you require more specifics, will you let her know?

Thank you very much,

JILL

>>> "Brenda Shelton" <BJS1@nrc.gov> 07/20/06 6:50 PM >>>
Jill,

Our records are captured in ADAMS as PDF's. Links within a file vs. links between files is the issue. Ideally staff would like to be able to simply click on a link to bring up a diagram, etc that may not be part of a given file vs. being restricted to links within the same file.

Thanks,
BS

Brenda Jo. Shelton

>>> "Jill Glenewinkel" <jill.glenewinkel@nara.gov> 07/20/2006 5:52 PM >>>

Hi, Brenda,

Regarding your hyperlinks question---
I require more specifics. What type of e-records are you speaking of? Websites? Word?

NARA does not accept documents transferred in Word. PDF is the accepted format for textual records and of course we have resolution requirements for those. General rule is that you should also scan the documents referred to in the links.

If you are referring to databases that have "layers" of information--yes, those records must be accessible.

What I've stated is very general so best to provide me with more information.

Let me know.....

Talk with you later,

JILL

>>> Jill Glenewinkel 07/20/06 9:21 AM >>>
Hi, Brenda,

Congratulations on your decision to retire!! Boy, I bet you are looking forward to that....

Yes, I'd like to meet with you and Margaret. I'm somewhat flexible the first two weeks in August. How about Aug 1, Aug 8 or 9?

I'll get back with you about your hyperlinks question. Perfect timing since I have a meeting with electronic records folks at NARA this morning!

And, what about the manual? Is it online and what is its link?

Will be back in touch. Have a good one, Brenda.

JILL

>>> "Brenda Shelton" <BJS1@nrc.gov> 07/20/06 8:26 AM >>>

Jill,

I don't know if I mentioned it to you, but I am retiring January 3, 2007, and I am transitioning out. My replacement, Margaret Janney, has already assumed responsibility for the branch. Therefore she is your new point of contact for NRC records matters. I forwarded the monthly status report to her. We will get a meeting set up so we can meet and you can let Margie know your role in providing service to the NRC. I was going to contact you anyway because we have a question about the use of hyperlinks in records that will be transferred (we relinquish ownership) to NARA in accordance with our records disposition schedules. There is a high interest in generating and receiving electronic files with hyperlinks between/among files. Can you give me NARA current take on this and the regulatory reference? Appreciate it.

Thanks,
BS

Brenda Jo. Shelton

>>> "Jill Glenewinkel" <jill.glenewinkel@nara.gov> 07/19/2006 5:44 PM >>>

Hi, Brenda,

Hope all is well with you. Could you please provide me with the link to your records manual? Is it online?

Also, I seem to have misplaced your phone number. Would you please send it to me?

Thanks much and talk with you later,

JILL

From: "Fajr Majeed" <FXM@nrc.gov>
To: <jill.glenewinkel@nara.gov>
Date: 7/25/06 4:37PM
Subject: Re: Parking Arrangements at NRC

Address: 11545 Rockville Pike, Rockville MD, 20852
Parking: Make a Right on Marineli Dr. coming from the Beltway. Parking will be under the building after checking in at Security.
Building: Two White Flint North (TWFN)--near the Eatzi's
Location: TWFN-2nd Floor- Room F28 (T2-F28)- Brenda's Office
Brenda Shelton: 301-415-7233
Margie Janney: 301-415-7245

>>> "Jill Glenewinkel" <jill.glenewinkel@nara.gov> 07/25/2006 4:20:07 PM >>>

Hi, Fajr,

Please let me know the address, where to park, the name and location of the building, and Brenda and Margie's phone #s.

Here's the information you requested:

- ..
1. Name of Visitor(s): Jill D. Glenewinkel
 2. Organization/Company: National Archives and Records Administration
 3. Date and approximate time of arrival: August 1; 2:30 pm.
 4. Purpose on Site: Meet with NRC records managers to assist with scheduling NRC records.
 5. Vehicle make, model and license number: [REDACTED] (b)(6)
 6. NRC Contact person and telephone number:
Brenda Shelton and Margie Janney (Please provide their phone #s.)

Thanks much,

JILL

>>> "Fajr Majeed" <FXM@nrc.gov> 07/25/06 4:10 PM >>>
Hello Jill,

Please complete this list of information so that I can arrange parking for you at NRC.

1. Name of Visitor(s):
2. Organization/Company:
3. Date and approximate time of arrival:
4. Purpose on Site:
5. Vehicle make, model and license number:
6. NRC Contact person and telephone number:

Thank you,

From: "Fajr Majeed" <FXM@nrc.gov>
To: <jill.glenewinkel@nara.gov>
Date: 7/27/06 4:50PM
Subject: Parking Confirmation:

Parking Confirmation:

Please allow the following individual(s) to park in the outside visitor parking:

1. Name of Visitor(s): Jill D. Glenewinkel
2. Organization/Company: National Archives and Records Administration
3. Date and approximate time of arrival: August 1, 2006 @ 2:30pm
4. Purpose on Site: Meeting
5. Vehicle make, model and license number: [REDACTED] (b) (6)
6. NRC Contact person and telephone number: Brenda Shelton @ 415-7233 or Margie Janney @ 415-7245

IMPORTANT NOTICE:

For visitors who park on the outside spaces, the driveway guard will direct the visitor to proceed to the lobby entrance of the OWFN or TWFN Buildings. You must meet your visitor(s) at the lobby entrance. The visitor(s) will complete the registration process at the lobby level guard desk (i.e. remember to preregister your visitor in the Visitor Information Profile System). The visitor must be under escort while in the building and escorted back to the lobby entrance of OWFN or TWFN.

CC: "Brenda Shelton" <BJS1@nrc.gov>, "Margie Janney" <MAJ@nrc.gov>

From: Jill Glenewinkel
To: Shelton, Brenda
Date: 8/2/06 3:22PM
Subject: Transfer Guidance

Hi, Brenda,

First of all, I want to thank you and Margie for yesterday's meeting. It was great meeting you and I regret that you and I are going to have such a short time to work together--unless you decide that retirement is not the way to go, and somehow I doubt that!!! (smile)

I want to pass along that I spoke with John Powell, my colleague who works with electronic records transfer issues (phone, 301-837-2068). John and I would like to come discuss transfer issues with you, Margie, and IT staff, especially in relation to the 3 systems you mentioned yesterday--DDMS, LSN, and EHearing Docket. I shared Margie's phone # with John and he's going to give her a call. (I don't have Margie's e-mail).

You asked for transfer guidance and more than likely the guidance you were referring to is the CFR. The links are as follows:

36 CFR 1228.270 (Subpart L.)

<http://www.archives.gov/about/regulations/part-1228/l.html>

Additional guidance on transfer:

<http://www.archives.gov/records-mgmt/initiatives/erm-guidance.html>

Brenda, hope this helps and hope a meeting works for you, Margie, and any techies you'd like to invite.

Again, great meeting you two. Looking forward to our next meeting.

Kind regards,

JILL
Jill D. Glenewinkel
Archivist
Life Cycle Management Division
National Archives at College Park, MD
301-837-1754

CC: Powell, John

From: Jill Glenewinkel
To: Shelton, Brenda
Date: 8/7/06 1:56PM
Subject: Follow-up Meeting with NRC

Hi, Brenda,

How do you and Margie feel about another meeting--one with your ADAM techies and John and I? Maybe we could include Tom Smith and James Corbett? Tom has contacted John asking techie questions and we think if we came to see the system and talked with you all in person--and saw the system at work--we'd be able to provide better guidance. How does that sound?

Will **August 14** in the afternoon work? Or, any suggestions?

Talk with you later,

JILL

CC: John Powell

From: "Fajr Majeed" <FXM@nrc.gov>
To: "Service Center Administrative" <ASC@nrc.gov>
Date: 8/9/06 2:23PM
Subject: Parking Arrangements

Please put this visitor on the guest parking list. She needs parking arrangements for Monday, August 14, 2006 at 1:30 pm.-4:30 p.m. She is preregistered in the visitor system.

1. Name of Visitor(s): Jill D. Glenewinkel
2. Organization/Company: National Archives and Records Administration
3. Date and approximate time of arrival: August 14, 2006; 1:30 pm.
4. Purpose on Site: Meet with NRC records managers to assist with NRR COL document reviews.
5. Vehicle make, model and license number: [REDACTED]
6. NRC Contact person and telephone number:
Margie Janney - 301-415-7245
Tom Smith - 301-415-7043

(b)(6)

Thank you,

Fajr Majeed
OIS/IRSD/RFPSB
fxm@nrc.gov
301-415-7230

CC: <jill.glenewinkel@nara.gov>, "Margie Janney" <MAJ@nrc.gov>, "Thomas Smith" <TES@nrc.gov>

From: Jill Glenewinkel
To: Brown, Frederick; Corbett, James; Golder, Jennifer; Golshan, KG; Janney, Margie; Lemoncelli, Mauri; Linehan, John; Reckley, William; Reddick, Darani; Smith, Thomas
Date: 8/9/06 4:00PM
Subject: Re: NRR COL Document Review Meeting

Hi, Margie and Tom,

John and I will be glad to attend the meeting--2 pm, August 14. Thank you so much for including us. May I ask if it would be possible for John to discuss certain transfer issues within the meeting or afterwards with some of the group?

Also, please let us know requirements for parking. We will drive separate vehicles.

Thanks again,

JILL
Jill D. Glenewinkel
Archivist
Life Cycle Management Division
National Archives at College Park, MD
301-837-1754

>>> "Margie Janney" <MAJ@nrc.gov> 08/09/06 2:06 PM >>>
Item Type: Appointment
Start Date: Monday, 14 Aug 2006, 02:00:00pm (Eastern Daylight Time)
Duration: 1 Hour, 30 Mins
Place: O-14-B10

Meeting requested by Margie Janney and Tom Smith. Scheduled by FXM

Margaret A. Janney, CRM/NS
Chief, Records and FOIA/Privacy Services Branch
Information and Records Services Division
Office of Information Services
301-415-7245

CC: Majeed, Fajr; powell, john

From: Jill Glenewinkel
To: Administrative, Service Center; Majeed, Fajr
Date: 8/9/06 4:01PM
Subject: Re: Parking Arrangements

Thank you, thank you!! See you on Monday!!

JILL

>>> "Fajr Majeed" <FXM@nrc.gov> 08/09/06 2:22 PM >>>

Please put this visitor on the guest parking list. She needs parking arrangements for Monday, August 14, 2006 at 1:30 pm.-4:30 p.m. She is preregistered in the visitor system.

1. Name of Visitor(s): Jill D. Glenewinkel
2. Organization/Company: National Archives and Records Administration
3. Date and approximate time of arrival: August 14, 2006; 1:30 pm.
4. Purpose on Site: Meet with NRC records managers to assist with NRR COL document reviews.
5. Vehicle make, model and license number: [REDACTED]
6. NRC Contact person and telephone number:
Margie Janney - 301-415-7245
Tom Smith - 301-415-7043

(b)(6)

Thank you,

Fajr Majeed
OIS/IRSD/RFPSB
fxm@nrc.gov
301-415-7230

CC: Janney, Margie; Smith, Thomas

From: Jill Glenewinkel
To: Janney, Margie
Date: 8/10/06 3:18PM
Subject: Re: Translations of Official Records

Margie,

I must admit that's a new one for me!! Let me run this by others but I think we are safe to say the English version is the official record. I'll find out in the office if others agree.....

Talk with you later,

JILL

>>> "Margie Janney" <MAJ@nrc.gov> 08/01/06 6:43 PM >>>

Jill,

I knew there was something I wanted to ask you this afternoon!

If we place a Spanish translation of an official agency record on our public web site, does that become another official agency record, or is the original English record the only one? (I notice that NARA has a Spanish sub-site.)

NRC policy requires that all NRC records must be placed in ADAMS before they can be placed at the site. However, ADAMS has no facility to recognize or search foreign words. So, if the Spanish version is also an official agency record, it can't be found via the indexing information!

Thank you for your response. I was glad to meet you today.

-Margie

Who is ~~ITA~~ contact?

Edison / Guilbaud



From: John Powell
To: Glenewinkel, Jill; Janney, Margie
Date: 8/15/06 11:44AM
Subject: NRC - NARA Meeting

Jill & Margie,

This is to confirm our meeting on Tuesday, September 19th, at 2:00 p.m. at NRC to discuss active NRC schedules for permanent electronic records. I will be prepared to give a short presentation on the transfer requirements for permanent electronic records to NARA. I will also provide a consolidated list of NRC series with permanent electronic records (similar to the list I had yesterday). If possible during the meeting, may I get an introduction into ADAMS?

John

CC: Adams, Margaret

From: Jill Glenewinkel
To: Powell, John
Date: 8/15/06 11:48AM
Subject: Re: NRC - NARA Meeting

Hi, John,

I've placed it on my calendar, plus the 2 pm meeting this Thursday with you and Greg (? was it).

Thanks for your participation yesterday. Really appreciated your being there. Nice working with you.

Talk with you later,

JILL

>>> John Powell 08/15/06 11:44 AM >>>
Jill & Margie,

This is to confirm our meeting on Tuesday, September 19th, at 2:00 p.m. at NRC to discuss active NRC schedules for permanent electronic records. I will be prepared to give a short presentation on the transfer requirements for permanent electronic records to NARA. I will also provide a consolidated list of NRC series with permanent electronic records (similar to the list I had yesterday). If possible during the meeting, may I get an introduction into ADAMS?

John

From: Jill Glenewinkel
To: Janney, Margie
Date: 8/16/06 5:08PM
Subject: Re: NRC's Disposition Schedule

Hi, Margie,

So many choices!! Yet, I'm asking for my own mix (smile)---

2 each of the following: (one for John)

Printed out in paper; copied onto CD; and mailed. (Only because I anticipate that John may need to refer to the manual in relation to that long list of e-records and because I'd like to look at it prior to the meeting.)

Address:

Jill D. Glenewinkel
National Archives and Records Administration
Life Cycle Division (NWML) Room 2100
8601 Adelphi Road
College Park, MD 20740-6001

John G. Powell (refer to his card)
National.....
Electronic Records Services Division (NWME), Room 5320
8601 Adelphi Road
CP, MD....

And my calendar is free on **Sept. 19** so I'll be able to attend the meeting.

I'm still trying to work on a consensus for the Spanish question....

Enjoyed the meeting on Monday. Great to see folks concerned with records management at the development stage of the system. Is this the Docket Management system you mentioned in our first meeting that will require scheduling? I'm almost positive that we'll need to update the "old" schedule to include it. What do you think? I'll have to look at the manual and N1-NU-008. But, might be something we can get started on and be one of the first to schedule something at its birth!!

Thanks much and have a good evening!

JILL

>>> "Margie Janney" <MAJ@nrc.gov> 08/16/06 4:00 PM >>>

The pdf file of our disposition schedule is too large to email. Would you like it:

printed and mailed
copied onto a CD and mailed
printed and held until we meet
copied onto a CD and held until we meet

Thank you!
-Margie

Margaret A. Janney, CRM/NS
Chief, Records and FOIA/Privacy Services Branch
Information and Records Services Division
Office of Information Services
301-415-7245

CC: Powell, John

From: "Margie Janney" <MAJ@nrc.gov>
To: <John.Powell@nara.gov>
Date: 8/16/06 4:51PM
Subject: Re: NRC's Disposition Schedule

Okay!
-Margie

>>> "John Powell" <John.Powell@nara.gov> 08/16/2006 4:45 PM >>>
Margie, Jill,

It would be helpful for me to have access to the disposition schedule before our meeting. My recommendation is to copy it to a CD & mail to the address below. I will provide Jill a paper and / or electronic copy as needed.

My address:

National Archives at College Park
NWME Room 5320
ATTN: John Powell
8601 Adelphi Road
College Park, MD 20740-6001

Thanks,

John

>>> "Margie Janney" <MAJ@nrc.gov> 8/16/2006 4:00 PM >>>

The pdf file of our disposition schedule is too large to email. Would you like it:

printed and mailed
copied onto a CD and mailed
printed and held until we meet
copied onto a CD and held until we meet

Thank you!
-Margie

Margaret A. Janney, CRM/NS
Chief, Records and FOIA/Privacy Services Branch
Information and Records Services Division
Office of Information Services
301-415-7245

CC: <jill.glenewinkel@nara.gov>

From: John Powell
To: Janney, Margie
Date: 8/16/06 4:45PM
Subject: Re: NRC's Disposition Schedule

Margie, Jill,

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John

>>> "Margie Janney" <MAJ@nrc.gov> 8/16/2006 4:00 PM >>>

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Thank you!
-Margie

Margaret A. Janney, CRM/NS
Chief, Records and FOIA/Privacy Services Branch
Information and Records Services Division
Office of Information Services
301-415-7245

CC: Glenewinkel, Jill

From: Jill Glenewinkel
To: Janney, Margie
Date: 8/17/06 8:32AM
Subject: Re: NRC's Disposition Schedule

Thanks much!!! Have a good one!!

JILL

>>> "Margie Janney" <MAJ@nrc.gov> 08/16/06 6:15 PM >>>

Jill,

No, that's not the EHD (Electronic Hearing Docket) that you saw - that was ADAMS, which is scheduled.

The schedules will be copied for you tomorrow and dropped in the mail.

See you on Sept. 19!

-Margie

>>> "Jill Glenewinkel" <jill.glenewinkel@nara.gov> 08/16/2006 5:08 PM >>>

Hi, Margie,

So many choices!! Yet, I'm asking for my own mix (smile)---

2 each of the following: (one for John)

Printed out in paper; copied onto CD; and mailed. (Only because I anticipate that John may need to refer to the manual in relation to that long list of e-records and because I'd like to look at it prior to the meeting.)

Address:

Jill D. Glenewinkel

National Archives and Records Administration

Life Cycle Division (NWML) Room 2100

8601 Adelphi Road

College Park, MD 20740-6001

John G. Powell (refer to his card)

National.....

Electronic Records Services Division (NWME), Room 5320

8601 Adelphi Road

CP, MD....

And my calendar is free on Sept. 19 so I'll be able to attend the meeting.

I'm still trying to work on a consensus for the Spanish question....

Enjoyed the meeting on Monday. Great to see folks concerned with records management at the development stage of the system. Is this the Docket Management system you mentioned in our first meeting that will require scheduling? I'm almost positive that we'll need to update the "old" schedule to include it. What do you think? I'll have to look at the manual and N1-NU-008. But, might be something we can get started on and be one of the first to schedule something at its birth!!

Thanks much and have a good evening!

JILL

>>> "Margie Janney" <MAJ@nrc.gov> 08/16/06 4:00 PM >>>

The pdf file of our disposition schedule is too large to email. Would you like it:

printed and mailed

copied onto a CD and mailed

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Thank you!
-Margie

Margaret A. Janney, CRM/NS
Chief, Records and FOIA/Privacy Services Branch
Information and Records Services Division
Office of Information Services
301-415-7245

From: "Margie Janney" <MAJ@nrc.gov>
To: <jill.glenewinkel@nara.gov>, <John.Powell@nara.gov>
Date: 8/17/06 6:15PM
Subject: Re: NRC - NARA Meeting

John,
Would it be possible to move this meeting up one half-hour, to 1:30. I have a conflict at 2:30.
Thank you!
-Margie

>>> "John Powell" <John.Powell@nara.gov> 08/15/2006 11:44 AM >>>
Jill & Margie,

This is to confirm our meeting on Tuesday, September 19th, at 2:00 p.m. at NRC to discuss active NRC schedules for permanent electronic records. I will be prepared to give a short presentation on the transfer requirements for permanent electronic records to NARA. I will also provide a consolidated list of NRC series with permanent electronic records (similar to the list I had yesterday). If possible during the meeting, may I get an introduction into ADAMS?

John

CC: <margaret.adams@nara.gov>, "Brenda Shelton" <BJS1@nrc.gov>

From: "Thomas Smith" <TES@nrc.gov>
To: <jill.glenewinkel@nara.gov>, <John.Powell@nara.gov>
Date: 8/18/06 1:16PM
Subject: Re: Fwd: What NARA needs

John...attached is the sample file that you requested at Monday's meeting. If you have any problems at all, please don't hesitate to contact us.

>>> Scott Raimist 08/18/2006 12:53 PM >>>
Hi Tom,

Enclosed please find the sample transfer for NARA per your request.

The zip file contains a readme.txt file with simple instructions.

Please let me know if I can assist in any manner.

Kind Regards,
Scott
703-568-7638

Kind Regards,
Scott Raimist

<http://www.RaimistSoftware.com>

>>> KG Golshan 08/15/06 4:43 PM >>>
Scott please run with this. Please work directly with Tom.

Regards,
KG

>>> Thomas Smith 8/15/2006 8:30 AM >>>
When I talked to John Powell yesterday he indicated he needed:

- 1) a sampling of the documents that you are working with...not all of them, just a subset.
- 2) the sample should include the format (pdf) and links.
- 3) he needs on the CD an index or finding tool. I assume that he means some kind of search engine to locate the records.

If this isn't clear I'll call and get better information.

CC: "James Corbett" <JCC1@nrc.gov>, "KG Golshan" <KXG@nrc.gov>, "Scott Raimist" <SAR2@nrc.gov>

From: John Powell
To: Glenewinkel, Jill; Shelton, Brenda
Date: 8/22/06 10:04AM
Subject: Re: NRC Records Manual

Brenda,

At this point NARA has not updated the CFR or issued a NARA supplement about DVDs. That said, my unit has been accepting DVDs as agency transfer media for some time now. If your agency is considering using DVDs as the appropriate transfer media and before you initiate a large transfer on DVDs, recommend that you submit a small sample set of files on a typical DVD as test data. We would validate the files on the DVD and provide that information back to you.

A thought would be to send the NRC Records Disposition Manual that Jill and I requested on a typical DVD.

John

>>> Jill Glenewinkel 8/22/2006 9:49 AM >>>
Hi, Brenda,

Missed seeing you again. Since John works with transferring records, I'm sending your request about DVDs to him.

Take care!

JILL

>>> "Brenda Shelton" <BJS1@nrc.gov> 08/18/06 11:43 AM >>>
** High Priority **

Jill,

Can you tell me where in NARA's regulations or guidance it specifies that DVD's are acceptable as a medium for transferring records to NARA? Sorry I missed the meeting Monday. I was just returning from travel and there was a mix up with regard to your e-mail to me asking for a follow-on meeting and I guess Tom scheduling a meeting without knowledge of your request to me.

Thanks again,
BS

Brenda Jo. Shelton

>>> "Jill Glenewinkel" <jill.glenewinkel@nara.gov> 07/25/2006 2:34 PM >>>

Hi, Brenda,

I know what you mean about having a # of things going at once. Which reminds me...did we set a time for our meeting on Tuesday? The afternoon works best for me? How's 2 pm?

I want to make sure that I provide you all the information you need (smile)....DVDs or CDs are both acceptable as the medium for transferring records to NARA. But, what you must be concerned about are all the transfer requirements related to the records, ie., scanning resolution, sending only flat files, creating a finding aid, etc. Take a look at these two links for guidance.

Electronic record guidance, including transfer requirements--see PDF files, etc:
<http://www.archives.gov/records-mgmt/initiatives/erm-guidance.html>

Electronic records transfer media--formats accepted by NARA:
<http://www.archives.gov/records-mgmt/initiatives/transfer-records-to-nara.html>

Hope this helps. Let me know if this is what you were looking for.

Have a good afternoon!

Best,

JILL

>>> "Brenda Shelton" <BJs1@nrc.gov> 07/25/06 11:05 AM >>>

Jill,

Have you found anything yet or did I fail to respond to this e-mail on 7-20? Sometimes I begin preparing responses, get side tracked and never send them. Can you tell me what NARA's position is on the acceptance of permanent records on DVD's?

Thanks,
BS

Brenda Jo. Shelton

>>> "Jill Glenewinkel" <jill.glenewinkel@nara.gov> 07/20/2006 5:52 PM >>>

Hi, Brenda,

Regarding your hyperlinks question---
I require more specifics. What type of e-records are you speaking of? Websites? Word?

NARA does not accept documents transferred in Word. PDF is the accepted format for textual records and of course we have resolution requirements for those. General rule is that you should also scan the documents referred to in the links.

If you are referring to databases that have "layers" of information--yes, those records must be accessible.

What I've stated is very general so best to provide me with more information.

Let me know.....

Talk with you later,

JILL

>>> Jill Glenewinkel 07/20/06 9:21 AM >>>

Hi, Brenda,

Congratulations on your decision to retire!! Boy, I bet you are looking forward to that....

Yes, I'd like to meet with you and Margaret. I'm somewhat flexible the first two weeks in August. How

about Aug 1 , Aug 8 or 9?

I'll get back with you about your hyperlinks question. Perfect timing since I have a meeting with electronic records folks at NARA this morning!

And, what about the manual? Is it online and what is its link?

Will be back in touch. Have a good one, Brenda.

JILL

>>> "Brenda Shelton" <BJS1@nrc.gov> 07/20/06 8:26 AM >>>
Jill,

I don't know if I mentioned it to you, but I am retiring January 3, 2007, and I am transitioning out. My replacement, Margaret Janney, has already assumed responsibility for the branch. Therefore she is your new point of contact for NRC records matters. I forwarded the monthly status report to her. We will get a meeting set up so we can meet and you can let Margie know your role in providing service to the NRC. I was going to contact you anyway because we have a question about the use of hyperlinks in records that will be transferred (we relinquish ownership) to NARA in accordance with our records disposition schedules. There is a high interest in generating and receiving electronic files with hyperlinks between/among files. Can you give me NARA current take on this and the regulatory reference? Appreciate it.

Thanks,
BS

Brenda Jo. Shelton

>>> "Jill Glenewinkel" <jill.glenewinkel@nara.gov> 07/19/2006 5:44 PM >>>

Hi, Brenda,

Hope all is well with you. Could you please provide me with the link to your records manual? Is it online?

Also, I seem to have misplaced your phone number. Would you please send it to me?

Thanks much and talk with you later,

JILL

From: Jill Glenewinkel
To: Janney, Margie
Date: 8/22/06 4:43PM
Subject: Spanish records

Hi, Margie,

Gosh, I really wanted to view records translated into Spanish as reference records. I even contacted our web master to ask if software automatically translated the text. In our case, selected documents are translated and that translation is done by a translator (person). As a result, records are created that must be scheduled. What is your process? Doubt if that will help, but it might if the system did an automatic translation with a record only existing as long as it took to read.....let me know what you are dealing with....

Bye for now...

JILL

From: Jill Glenewinkel
To: Janney, Margie
Date: 8/23/06 9:38AM
Subject: Re: Fwd: MPKI agreements in ADAMS and new Record Schedule for disposition

Hi, Margie,

The PKI GRS is in the "process"--under review by a # of PKI experts. Once that is complete, we'll be able to move to the next stage. I am not able to commit to a due date.

My opinion is that it would be easier to schedule the records based on the GRS rather than submitting a schedule, but we can talk about what you'd like to do. You are on the right track to begin with examining the 10.5 year retention requirement. In addition, you must also be aware of the retention of the information record (the program record) the PKI provides access to. Examine the two together to determine the life of your PKI records.

Discussion to be continued...., ok?

Bye for now,

JILL


>>> "Margie Janney" <MAJ@nrc.gov> 08/22/06 5:53 PM >>>

Jill,

Do you have any knowledge of approval of a NARA schedule for PKI records?

-Margie

Margaret A. Janney, CRM/NS
Chief, Records and FOIA/Privacy Services Branch
Information and Records Services Division
Office of Information Services
301-415-7245



From: Jill Glenewinkel
To: Janney, Margie
Date: 8/23/06 9:38AM
Subject: Re: Fwd: MPKI agreements in ADAMS and new Record Schedule for disposition

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Bye for now,

JILL

>>> "Margie Janney" <MAJ@nrc.gov> 08/22/06 5:53 PM >>>

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-Margie

Margaret A. Janney, CRM/NS
Chief, Records and FOIA/Privacy Services Branch
Information and Records Services Division
Office of Information Services
301-415-7245

From: "Achyutananda RoyChoudhury" <ARC@nrc.gov>
To: "Margie Janney" <MAJ@nrc.gov>
Date: 8/22/06 5:29PM
Subject: MPKI agreements in ADAMS and new Record Schedule for disposition

Hi Margie,

When NRC users are issued MPKI digital certificates through CSC, they usually sign two user/subscriber agreements and these agreements are in the process of being added to ADAMS on monthly basis by DPC. As per the new Federal PKI regulation, these agreements need to be retained in ADAMS for 10.5 years (legal implication in case of any dispute) and then can be disposed of. Since we didn't have a Record schedule like that, I checked with Tree Lee (Retired) before, and she in turn worked with NARA for that schedule. Last time I talked to Tree, she mentioned that she talked to NRC appraisal archivist at NARA regarding the PKI schedule and NARA was in the process of preparing a record schedule to cover PKI records. At that time (8/2005) they said that the schedule should be issued in a couple of months and we should sit tight until this schedule is issued.

Unfortunately, I have not seen any further information on this till this date. I just talked to Jeff Bartlett and he suggested to bring this issue to your attention. I would highly appreciate if you may help us in resolving the issue.

Thanks.

-Roy Choudhury
OIS/ICOD/DDB
IT Specialist
415-7226
arc@nrc.gov

CC: "Jeffrey Bartlett" <JLB1@nrc.gov>

From: "Latravetta Lee" <LML@nrc.gov>
To: "Arian Ravanbakhsh" <arian.ravanbakhsh@nara.gov>
Date: 9/28/05 2:08PM
Subject: Re: GRS re PKI Digital Records

Arian,

When the draft GRS is issued, please send a copy to the person on the cc to this message. He has a interest in this schedule.

Thanks.

>>> "Arian Ravanbakhsh" <arian.ravanbakhsh@nara.gov> 09/06/05 8:00 AM >>>
Good morning,

Sue Elter has passed this email on to me for a response. My name is Arian Ravanbakhsh and I am the appraisal archivist for the Nuclear Regulatory Commission.

The short answer to your question is that the GRS for PKI records that is under development has been put together with regards to several guidance products that are already in place. These include the products issued by NARA, namely the Records Management Guidance for PKI Digital Signature Authenticated and Secured Transaction Records, available at:
<http://www.archives.gov/records-mgmt/policy/pki.html>

and

Records Management Guidance for PKI-Unique Administrative Records, available at:
<http://www.archives.gov/records-mgmt/policy/pki-guidance.html>

In addition, we are following the guidance from the FBCA. When the GRS is issued, it will go out for review and questions can be addressed. Also, if the NRC finds that their risk profile requires retention of records longer than what is to be proposed by the GRS, they can submit a SF-115 to request an exemption to the GRS.

I hope this answers your questions. Please do not hesitate to contact me if you require more information.

Arian

Arian D. Ravanbakhsh
Senior Records Analyst
National Archives and Records Administration - NWML
301-837-2086

>>> "Latravetta Lee" <LML@nrc.gov> 09/01/2005 12:35:21 PM >>>
Susan,

I recently spoke with you and you informed that a General Records Schedules was in the works for PKI digital records.

Can you take look at the two URLs supporting the adoption of the 10.5 year retention requirement for federal staff PKI records and let me know if the proposed GRS will taken into account the Federal Common Policy? I have been told by David Sulser (Verisign) that these records are different from previous PKI records identified in guidance document issued by NARA in March 2005.

The first is a GSA memo citing OMB authority for requiring all agencies to comply with the Federal

Common Policy Framework:

<http://www.cio.gov/ficc/documents/GSAsspCIO.pdf>

The memo provides a link to the Common Policy in footnote one:

<http://www.cio.gov/ficc/documents/CommonPolicy.pdf>

The retention period for archive is given in section 4.6.2 of the Common Policy which appears on on page 27 in the current version 2.2.

Thanks

Latravetta Lee
Manangement Analyst
Office of Information Services
301-415-5633

CC: "Achyutananda RoyChoudhury" <ARC@nrc.gov>

From: Jill Glenewinkel
To: maj@nrc.gov
Date: 9/11/06 9:52AM
Subject: Thanks...

Hi, Margie,

Just letting you know that I received the NRC disposition manual/CD. Thanks much!!!

Hope all is going well with you. See ya next Tuesday!!

Bye for now,

JILL

From: Jill Glenewinkel
To: BJS1@nrc.gov; maj@nrc.gov
Date: 9/18/06 2:48PM
Subject: NRC 9/19/06 Mtg

Hi, Brenda and Margie,

Just wanted to be in touch before our meeting tomorrow, **9/19/06**. It was moved from 2 to **1:30**, right?

Plans are to discuss electronic records transfer requirements, especially in relation to the records in ADAMS that are scheduled for immediate transfer. (We call this the GAPS List.) Please include someone familiar with how ADAMS works since John will have a number of questions about the system in relation to these records.

Looking forward to seeing you tomorrow. We will both be out of pocket tomorrow morning at another agency meeting.

Kind regards,

JILL

CC: Jill Glenewinkel; John Powell

From: Jill Glenewinkel
To: fxm@nrc.gov
Date: 9/18/06 2:25PM
Subject: NRC meeting

Hi, Fajr,

Just letting you know that John Powell and I are visiting NRC tomorrow, 9/19; arriving around 1-1:30 pm. We will be driving separately.

I may be driving a different car since I am having car troubles! I will be in my car [REDACTED] or may be driving a friend's [REDACTED]

(b)(6)

Let me know if you require additional information from me or John.

Thanks,

JILL

CC: BJS1@nrc.gov; MAJ@nrc.gov; Majeed, Fajr

From: Jill Glenewinkel
To: Janney, Margie; Powell, John
Date: 9/20/06 3:12PM
Subject: Re: Links

John,

See Margie's e-mail regarding links. (Sorry about the delay in getting this message to you. My computer was not working this morning and I just returned from another meeting.)

Thanks much,

JILL

>>> "Margie Janney" <MAJ@nrc.gov> 09/20/06 11:38 AM >>>
Jill/John,

I meant to speak with you yesterday after our meeting, but I was already late to the next one!

Where do we stand on the "links" issue? Do we owe you some more test data? What's our next step?

Thanks!

-Margie

9/20/06

John message that if he called Margie
+ left her a message summarizing
the conclusions, based on the 'sample test'
data.

From: Jill Glenewinkel
To: Janney, Margie; Powell, John
Date: 9/21/06 12:45PM
Subject: Re: PPI for Color Images

John,

Leaving this up to you...Please respond.

JILL

>>> "Margie Janney" <MAJ@nrc.gov> 09/21/06 12:19 PM >>>

The other day when we met, Wayne Davis said that color images are scanned at 150 dpi. Actually, that's the exception, not the rule.

Jeff spoke with our document processing expert (the former Document Processing Center (DPC) supervisor), and was told that color images are scanned at 300 dpi unless the image is so large that the size of the file would be too large to open easily. In these instances, we edit the profile to indicate the lower scanning resolution.

My question to you is, should we be scanning these large color images twice - once at 150 dpi for the public's use and once at 300 dpi to turn over to you?

Thanks!

-Margie

Margaret A. Janney, CRM/NS
Chief, Records and FOIA/Privacy Services Branch
Information and Records Services Division
Office of Information Services
301-415-7245

CC: Bartlett, Jeffrey; Clark, Tracy; Shelton, Brenda

>>> "Richard Noble" Richard.noble@nara.gov 7/31/07">>>
7/31/07

Debbie,

Unfortunately, GRS 16, item 3a (covering the record copy of forms files) was approved before job NC1-431-81-5. Job NC1-GRS-81-4, covering GRS 16, item 3a, was approved January 28, 1981. NC1-431-81-5 was approved December 9, 1981.

Thus, the disposition for NRC forms files contained in NC1-431-81-5, item 1.5.32a, is valid. (This item is thus considered a GRS exception.)

If you want to change the disposition of this item to be in conformance with the GRS, you could submit a SF115, of course.

I hope that this is helpful.

- Rich Noble
NARA, NWML
301-837-2019

>>> "Deborah Armentrout" <DHA1@nrc.gov> 7/24/2007 10:03 AM >>>

Rich (and Sue),
I have a question in regards to the GRS versus agency schedule. As you can see below, our Forms staff would like to destroy or transfer Forms Files. However, we are in conflict about what retention schedule to use, and I am curious as to whether we have an agency schedule that should have been superseded by the GRS.

GRS 16, Item 3.a. and 3.b. states that Forms Files are temporary records. However, we have a schedule (NC1-431-81-5, Item 1.5.32.a) that states that "One records copy of each edition of an NRC form created that is maintained by the Publishing Services Branch with related instructions" (note that this is similar language to the GRS), is actually approved as a permanent record to be transferred to NARA when 10 years old.

My questions:

- 1) Which came first, the GRS 16, Item 3, or the NRC schedule? (I am hoping that I can just state that the NRC schedule should have been superceded).
- 2) Since we no longer keep a "Master File" of forms, the permanent item no longer exists. (What our staff has is more of a combination of the two GRS items and I am leaning towards stating that they are more like working files).
- 3) Bottom line, can we just use the GRS, and if so, do we just need to notify you that NC1-431-81-5, Item 1.5.32.a no longer exists?

Sorry for such a lengthy email about an administrative item.

Many thanks for your thoughts on this,
Debbie

Deborah H. Armentrout, CRM
Section Chief
Records and Archives Services Section
OIS/NRC
301-415-7228

>>> Deborah Hersey 07/17/2007 3:22 PM >>>
Good Afternoon - In my quest to obtain an additional file cabinet I have learned the following facts:

- 1) I am responsible for 3 five drawer lateral file cabinets, which are almost full to capacity.
- 2) The purpose of the file cabinets is to store Official NRC Forms and related documentation for each NRC Form. The related documentation is any marked up copies for revisions or creation. (The current count from the NRC Master Forms list is 411).
- 3) The related documentation in some of these files date back to 1975. Some forms have several folders.
- 4) NRC Forms are sent to NARA when the form is discontinued. Therefore, a lot of the current space in the 3 five drawer file cabinets is for storing each and every revision of every NRC form from birth.
- 5) NRC Forms revised or created masters are not added to ADAMS.

In an effort to utilize my 3 five drawer file cabinets I propose that as a branch we take another look at the NRC Schedule 2 Records of NRC Offices, NUREG-0910, Rev. 4, Page 2.6.8. Furthermore, I think that new disposition rules be instituted for records that reduce paper or eliminate paper, which in turn would not require the use of 3 five drawer file cabinets.

Thank You for your time and have a nice evening.

Deborah A. Hersey
U.S. Nuclear Regulatory Commission
Office of Information Services
(301) 415-7232 Room # T-5 F52
dah1@nrc.gov

>>> "Richard Noble" Richard.noble@nara.gov 8/13/2007>>>
8/13/07
Debbie,

I'd like to give you an answer tomorrow (Tuesday) on which NARA staff will be participating in the RMA survey of NRC. I apologize for the delay.

- Rich Noble
NARA
301-837-2019

>>> Mark Ferguson 8/10/2007 3:51 PM >>>
Rich

Do you want to answer Debbie in terms of who will be visiting? I thought Laurence said it would be you, Jill, and John Powell.

By the way, if the date you set occurs when I am not off somewhere else, I would like to see if I can listen in via phone and maybe ask a few questions. I can discuss with you, Jill, and John how I conducted both the BPA visit and my phone interview with GAO before you head to NRC. Thanks

MARK

>>> "Deborah Armentrout" <DHA1@nrc.gov> 8/10/2007 3:38 PM >>>
Hi Mark -
I am so sorry that you have not heard from Margie or me in regards to this. We have both been on vacations and then went to NIRM. I have met with two people who helped me complete most of the survey. I will submit the response to you next week. I will also set up the meeting time when I get back to the office.

Is Jill part of this team or will Rich now be the contact since he is our new appraiser?

Again, sorry for the delay.

>>> "Mark Ferguson" <mark.ferguson@nara.gov> 8/2/2007 4:55 PM >>>
Debbie -

I understand that you and Margie are on travel through August 10th. When would it be possible for the NARA team to do the site visit/interview for our RMA Study?

I want to have the final report completed by the end of the FY and we are also drawing some interest from entities such as the Federal Records Council who wants a briefing on the study results in September, plus we'd hoped to present preliminary results at RACO West on Sept. 18th. So as you can see we would really like to talk to you about the good things going on at NRC. Drop me a line when you can - thanks.

MARK FERGUSON CRM, CBCP
Director, Records Management Programs
NARA--Rocky Mountain Region
Denver, CO mark.ferguson@nara.gov
(303) 407-5721; Fax: 303-407-5731

>>> Mark Ferguson 8/14/2007 1:30 PM >>>
Debbie and Rich

Here is how I have run these so far.

1. Interview mainly covers sections E and G of the form. Since there is no much to say about Section G (Email) then the focus is on what works about the RMA.
2. View the product "in action" with the NARA team. No sensitive documents, just demo of sample documents being captured as records, profiles being filled out, filing action, sample of a couple of searches, cutoff action, etc.

It sounds like NRC is a "mixed" success from your answers. The intent of the study was to show what things make RMA implementations successful, so I would focus on the "good" ideas and experiences. Also if you have some "best practice" documents that you can share (sanitized), can Rich get copies when he visits? For example, BPA provided me with their user training guide and abbreviated CONOPS (concept of operations) vision document for their RMA.

When I assisted Leslie Watson with the GAO interview, I did so from my desk connecting to the GAO conference phone number. Leslie and I asked questions from the survey form where the GAO people could expand on their answers. The whole interview took less than an hour. Then, I presume, GAO demo'd their RMA for Leslie.

I do not want to make this too complicated. Rich - set a date that works for you and don't worry about me being in on it. You can record your own notes on what you see in the demo of ForeMost. Debbie - might we obtain a few "screen shots" of various ForeMost screens showing key activities (file, captured, search, etc.)?

Thanks again,

MARK

>>> "Deborah Armentrout" <DHA1@nrc.gov> 08/14/07 11:02 AM >>>
ok - Rich Noble and I were just trying to figure out exactly what was needed for the visit. (Tour...demo...review questions???) We have tentatively set aside the morning or August 27th or 28th.

>>> "Mark Ferguson" <mark.ferguson@nara.gov> 08/14/2007 12:49 PM >>>
Debbie - thanks! I am working offsite today but will be in tomorrow to listen to your message.

MARK

>>> "Deborah Armentrout" <DHA1@nrc.gov> 08/14/07 9:30 AM >>>
Mark -
Attached is our response to the RMA study. Again, I apologize for taking so long, but trying to get folks together in the summer is quite difficult. I wanted to just make sure that before we are "quoted" that we get to review the report.

I just left you a message in regards to how to set up the demo and how/when you may want to participate via telecon. I will follow up with Rich and you on this.

- Debbie



>>> "Deborah Armentrout" <DHA1@nrc.gov> 8/14/2007 4:35 PM >>>
Mark - A few more questions or comments:

- Because we have an integrated system we should probably show the entire process from DMA to RMA (which goes back to the DMA profile). I think that we can probably skip the scanning process if you agree.

- To emphasize something that I think is very important about this technology and our response: The NRC was considered very successful when ADAMS (EDRMS) was initially implemented. It was the first agency to roll out an RMA, first agency (and maybe still) to do so enterprise wide, and the agency won an Archivist award several years ago. The problem was that at-the-time there were no "best practices," the technology was quite limited, and we lost vendor support.

- We can provide you with the Desk Reference Guide and I will look around to see what else you may find of value.

- No problem with the screen shots.

>>> "Deborah Armentrout" <DHA1@nrc.gov> 8/16/2007 4:48 PM >>>
Rich -

Thanks for looking into this for us. We are continuing to try to pursue this issue with our technical staff. I will keep you informed as we make progress.

- Debbie

>>> "Richard Noble" Richard.noble@nara.gov 8/16/07>>>
8/16/07
Debbie,

In response to your email below, two weeks ago I emailed all NWML staff asking if they knew whether any Federal agency has adopted records management policies and/or procedures in regard to use of Enterprise Rights Management or Digital Rights Management software. I've received no positive responses yet.

Also, in the past, I worked with the records staff at two of the agencies on your list of those which "successfully implemented FileOpen". I have asked them if they've used FileOpen or developed any policies or procedures for ERM. I've given below their responses, which were negative:

Lawrence Livermore National Laboratory (DOE):

"Our records manager researched Enterprise Rights Management software and came up with a blank.

I've contacted IPAC and Procurement and determined that it [FileOpen] is not being used by IPAC, nor was it purchased through official channels for use by anyone else at the Lab.

Sorry. We can't help you, I'm afraid."

Sandia National Laboratory (DOE):

"The only involvement with FileOpen that we're aware of (here in the Technical Library) is the plug-in we were required to install to view some of our IHS products. I think it might be overstating it a bit to say we've "successfully implemented FileOpen". We were forced to download the plug-in to open certain PDFs from two external engineering organizations."

So none of this information is very helpful for your needs, I'm afraid.

- Rich Noble
NARA
301-837-2019
end: sent DA 8/16/07

>>> "Deborah Armentrout" <DHA1@nrc.gov> 7/26/2007 2:34 PM >>>
Rich - Here is another question that I have...since receiving the information below from Jill and Mark, my staff has been researching how other agencies have implemented Digital Rights Management or Enterprise Rights Management, as discussed in NARA Bulletin 2007-02.

We are looking for written policy or a practitioner approach to roll out. If you are aware of any of other agencies who are facing this dilemma, please let me know.

Attached is a list of where our DRM vendor has implemented this technology. We have attempted to contact all of them with limited success. Are you the appraiser for any of them?

thanks,
Debbie

(And by the way, I am really glad to be working with you!)

>>> "Jill Glenewinkel" <jill.glenewinkel@nara.gov> 07/10/2007 3:04 PM
>>>
Debbie,

I recieved this message from Mark. I have no additional information to report.

Have a good day.

Kind regards,

JILL

>>> Mark Giguere 7/3/2007 6:40 AM >>>
Debby: Glad you are well.

NARA has no experience or expertise in applying DRM technology. As you know, I don't 'touch' agencies directly. I've cc'ed your appraisal archivist so she might query other NWML staff and pass along any examples of policies they might have encountered.

Hope you have a good 4th.
mg

>>> "Deborah Armentrout" <DHA1@nrc.gov> 7/2/2007 5:28 PM >>>

Hi Mark,
Last week my agency delayed the roll out of digital rights managment (DRM) until we could write policy and look at options (partially in thanks to NARA Bulletin 2007-02). This feature had been requested by our Technical Library so they could allow staff access to e-Books.

NRC's IT/IM staff are now looking to see if we could select in what manner we allowed DRM. We currently are not sure if we could apply it to only a certain type of action, or what other options there may be for rolling out its use.

One of our librarians provided me the attached list. I will note that it was provided to her by a vendor who said that they had "successfully implemented FileOpen." We are trying to contact the Records Officers for those agencies to see if they were involved and how they handled.

We were wondering if there is anyone at NARA who is an expert with the technology, and also if NARA has worked with any other agencies in how they are handling DRM. (Or, if you have an example of someone's guidance or policy).

Please advise at your earliest convenience.

Many thanks,
Debbie

(P.S. I hope that you are doing well. I am!)

>>> "Richard Noble" Richard.noble@nara.gov 8/16/07 >>>
8/16/07

Debbie,

[This must be my day to send you email!]

I'm responding to your telephone question about whether NARA still requires "mandatory destruction" of temporary records, i.e., destruction promptly after the retention period specified in the approved disposition schedule. (The other way of stating this is that NARA still requires agencies to submit an SF115 to extend the retention period for temporary records.)

As you probably know, the requirement to submit a new schedule is covered by 36 CFR 1228.32.

36 CFR 1228.54(a) includes the mandatory destruction requirement. Specifically, it gives two exceptions to this requirement: (A) when necessary, agencies may keep the records for up to an additional year beyond the retention period, and (B) agencies may issue a freeze on the records.

Since neither of these exceptions appears to resolve the issue for the records I think you asked me about, NRC will probably need to submit a SF115 to extend the retention of them.

By the way, I noticed that "NARA's Strategic Directions for Federal Records Management" (July 31, 2003) states as a scheduling and appraisal "tactic" (page 5): "Mandatory destruction: We will seek to change the statutory requirement for mandatory destruction on records and substitute a more flexible approach .. to keep some records longer than their NARA approved disposition authorities (retention schedules) specify." However, NARA never implemented this proposed tactic and has no plans to do so now.

- Rich Noble
NARA
301-837-2019

>>> "Richard Noble" Richard.noble@nara.gov 8/22/2007>>>
8/22/07
Debbie,

That agenda sounds fine for the Monday visit.

I wanted to mention that, during the question-and-answer period from 9:00 – 10:00 a.m., I'll probably ask some questions beyond just sections E and G of the questionnaire. Mark Ferguson's email of Aug. 14 mentioned those two sections as being the focus of my questions, but I'm also curious about some other aspects of the RMA outside of those two sections.

Also, is your building the same one visited by Larry Baume and me on July 18? (This was the shorter building, "Two White Flint".)

- Rich Noble
NARA
301-837-2019

>>> "Deborah Armentrout" <DHA1@nrc.gov> 8/22/2007 7:41 AM >>>
Next Monday, after the RMA meeting, can you meet with our contractor in regards to our electronic records scheduling initiatives? (from 11:00 to 12:00?). Then, I would like to walk you through our file room (quickly) because I am hoping to get the FRC to help us do a FastPack, and thought you should be aware of that because it may require revising some schedules.

This arrangement would get you out of here no later than 12:30. Is that ok?

(John - I have looked into parking for you and will let you know when I get the details.)

>>> "Richard Noble" Richard.noble@nara.gov 9/6/07>>>
9/6/07

Tracy,

I had a chance today to look at the four items of NRC guidance referenced in your below email. I was able to access all four items. The information contained in them is very useful. Thanks very much for sending them.

- Rich Noble
National Archives and Records Administration
301-837-2019

>>> "Tracy Clark" <TLC1@nrc.gov> 9/6/2007 3:19 PM >>>
Hi Rich,

Glad they worked and were helpful. You are most welcome!

Tracy

Tracy L. Clark, Records Management Analyst
Records & FOIA/Privacy Services Branch
Information & Records Services Division
Office of Information Services

>>> "Tracy Clark" <TLC1@nrc.gov> 8/30/2007 3:44 PM >>>
No problem Rich but you probably won't be able to access the first 3 because they're on the internal site. I'm going to see if I can save them electronically and email them to you. Have a good holiday weekend!

Tracy L. Clark, Records Management Analyst
Records & FOIA/Privacy Services Branch
Information & Records Services Division
Office of Information Services

>>> "Richard Noble" Richard.noble@nara.gov 8/30/07>>>
8/30/07
Tracy, Thanks. That would be great! - Rich Noble

>>> "Tracy Clark" <TLC1@nrc.gov> 8/30/2007 4:11 PM >>>
Rich,

I think these attachments will work...right click and OPEN on each.
The link below is on the external sight so it should work too. Let me know if you experience problems. Thanks!

<http://www.nrc.gov/reading-rm/doc-collections/management-directives/volumes/vol-3.html>

Tracy L. Clark, Records Management Analyst
Records & FOIA/Privacy Services Branch
Information & Records Services Division
Office of Information Services

>>> "Richard Noble" Richard.noble@nara.gov 8/30/07>>>
8/30/07
Tracy,

Thanks very much. These should be very useful.

I probably won't have time to view them until next week, because I'm on leave Friday and Tuesday. So in case I have any problems in accessing them, I may need to contact you next week. (Hopefully not, though!)

Thanks for your help.

Rich Noble
NARA
301-837-2019

>>> "Tracy Clark" <TLC1@nrc.gov> 8/30/2007 2:18 PM >>>
Hi Rich,

Debbie asked me to forward to you some links to NRC's email guidance.
Please see below:

<http://www.internal.nrc.gov/ois/divisions/irsd/records-mgt/guidance-documents/e-mail-records.html>

<http://www.internal.nrc.gov/ois/help/faq-rec-mgt.html#email>

<http://www.internal.nrc.gov/ois/divisions/irsd/records-mgt/guidance-documents/e-mail.html>

9 6 07: ntm: above three I couldn't access. Tracee sent them later as attachments which I copied to start of this doc (notes5.1.doc)

These are the 3 main guidance documents on the internal web. We also
have MD 3.53 on our external web at

<http://www.nrc.gov/reading-rm/doc-collections/management-directives/volumes/vol-3.html>

You'll want to go to that site and go into Part 2, Number 3.53.

Hope these are helpful and again it was a pleasure to see you again.

Best Regards,
Tracy

Tracy L. Clark, Records Management Analyst
Records & FOIA/Privacy Services Branch
Information & Records Services Division
Office of Information Services

>>> "Richard Noble" richard.noble@nara.gov 9/7/07 >>>
9/7/07
Debbie,

That's fine. I'll fax a representative schedule to Tracy next week.

Have a good vacation!

- Rich

>>> "Deborah Armentrout" <DHA1@nrc.gov> 9/7/2007 12:20 PM >>>
Thanks for your thorough follow up on this issue. Since we are unsure of when it will be approved, can you send me a copy of a media neutral schedule that supersedes a former, paper based permanent retention schedule? I know that EPA has been submitting quite a few of them and they were posted on the Federal Register. (This will enable me to get "something in the hopper" in case the GRS approval takes awhile).

I am going to be on vacation next week, so if you can get ahold of one of these, please send to Tracy Clark at TLC1@nrc.gov or via fax at 301-415-6434.

Thanks again for all your help!

- Debbie

>>> "Richard Noble" richard.noble@nara.gov 9/7/07 >>>
9/7/07

Debbie,

Last week you asked whether the media neutral GRS schedule (N1-GRS-07-4) posted on the Federal Register on August 9, is likely to get approved by NARA promptly after it "comes off the Register" on Sept. 10. I found the following answer:

1: The schedule has not been requested for comment yet. Michael Churgin did not request a similar schedule a few years ago. (That was an earlier version of N1-GRS-07-4 which was never implemented due to criticism from several members of the public - not Churgin, though.) So it's unclear whether Churgin will request this current one at the last minute.

2: The media neutral GRS (N1-GRS-07-4) will not be officially issued until NARA receives OMB approval for some new regulations that will accompany the media neutral GRS. NARA sent the new regulations very recently to OMB for approval. It's unclear how long this OMB approval process will take (probably at least two months, I would guess).

So this timetable probably isn't good news in terms of your scanning project for the permanent NRC records.

- Rich Noble
NARA
301-837-2019

>>> "Deborah Armentrout" <DHA1@nrc.gov> 9/17/2007 1:56 PM >>>

Hi Rich,

First of all I want to thank you for thinking of us as possible presenters for the IT Summit. Unfortunately, I will be at ARMA Conference and Margie has another presentation on that date. We do not want to have IT talk about the DMA/RMA system without one of us being present.

Maybe next year, or if there is another opportunity sometime in the near future.

Regards,
Debbie

>>> "Richard Noble" Richard.noble@nara.gov 9/17/07>>>
Monday, 9/17/07

Debbie,

NARA is assisting GSA with the October 9th "2007 Federal IT Summit" described in the below email from Michele Heffner and in the attached flyer. We are looking for three agencies (a) in which RM staff have partnered with their CIO or IT managers on Electronic Recordkeeping Systems (ERKS), and/or (b) have developed/are currently developing ERKS/EDMS functionality or tools that might be considered a best practice for the management of e-records or e-mail. We would include in the "Summit" a 15-minute talk from an IT person for such agencies. (Actually, the 15-minute talk by each agency's IT person would be given twice – once in the morning and once in the afternoon.)

I realize that NRC isn't fully satisfied with the functionality of the ADAMS RMA, but I wanted to ask if NRC nevertheless might be interested in sending an IT person to speak at the "Summit" about the ADAMS RMA/DMA. (If you or Margie wanted to speak along with an IT person, that would be fine.) If NRC is interested in possibly doing this, I'd appreciate your discussing this with me by noon Wednesday. (I probably will be taking leave tomorrow -- Tuesday.) I apologize for the very short notice.

Thanks very much for your consideration of this request.

- Rich
NARA
301-837-2019

>>> "Richard Noble" Richard.noble@nara.gov 9/25/07>>>
9/25/07

Debbie,

I agree with Steve Puglia and Susan Sullivan that 299.999 or 299.998 dpi should be treated as 300 dpi for the purposes of NARA's transfer guidance for permanently valuable scanned images of textual records. So, from NARA's perspective, you certainly can inform NRC's industry constituents that the 299.999 or 299.998 dpi is acceptable for scanned image records.

- Rich Noble
National Archives and Records Administration (NARA)
301-837-2019

>>> "Deborah Armentrout" <DHA1@nrc.gov> 9/25/2007 7:47 AM >>>
Rich - Can you provide a response to Susan's email so that we can move forward? It seems that she and Steve Puglia agree with us that 299.999 can be interpreted as 300 dpi.

Thanks

>>> Susan Sullivan 9/24/2007 2:40 PM >>>
Deb:

Steve wrote back....

"I agree with their comments, this is just a difference in how the spatial resolution is calculated by different software applications. Most applications should/would round the value and display it as 300 dpi. I think the files meet the requirement for 300 dpi, I would not recommend rejecting these files based on this."

I guess this is really Rich's call, though.

Thanks,
Susan

Susan Sullivan, CRM
National Archives and Records Administration
Modern Records Programs (NWM)
susan.sullivan@nara.gov
V: (301) 837-2088
F: (301) 837-3697

>>> Susan Sullivan 9/24/2007 2:35 PM >>>
Deb:

I sent your question off to Steve Puglia. You are correct that the 300 dpi only applies to permanent records from NARA's perspective.
.001 of a dot/per inch. Is nothing easy?

Thanks,
Susan

>>> Steven Puglia 9/24/2007 2:36 PM >>>
Susan:

I agree with their comments, this is just a difference in how the spatial resolution is calculated by different software applications. Most applications should/would round the value and display it as 300 dpi. I think the files meet the requirement for 300 dpi, I would not recommend rejecting these files based on this.

Steve.

FROM>>> Susan Sullivan 9/24/2007 2:26 PM >>>
Hi Steve:

See forwarded messages from the NRC. It appears that scanner settings are outputting a resolution of 299.998 dpi. Any thoughts as to whether or not we should accept these for transfer as "close enough" to 300 dpi? Any "downsides" to this? Some of these records have to do with public health and safety, but NRC requires a rigorous QA for such records.

Thanks,
Susan

>>> "Deborah Arme TLC1@nrc.gov
ntrout" <DHA1@nrc.gov> 9/24/2007 12:54 PM >>>
Susan and Rich,
Can you provide guidance on the issue below? We would like to say that the number can be rounded up but wanted to make sure that this was acceptable for our permanent PDF records.

Of course, time is of the essence because we are receiving our first combined license application this week and want to make sure that we can tell industry that the 299.998/999 dpi is fine.

Please advise at your earliest convenience and thanks,
Debbie

>>> Kenny Nguyen 09/18/2007 8:05:43 AM >>>
Deborah/Jeff,

Our E-Rule states that PDF should include images scan at a minimum of 300dpi, but from looking at Adobe Preflight reports when inspecting PDFs submitted by the utilities, I noticed lots of them include scanned images with a resolution of 299.998/299.299 dpi. For some unknown reasons, Adobe PreFlights for version 7 & 8 reports the output resolution to the thousandth decimals. Basic math will tell us to round this number up, which means 299.998/999 equals 300dpi, which implies that the PDFs do meet the Agency's required 300dpi resolution.

From our brief discussions, you both have indicated that rounding up this number will be acceptable, but want to double check with NARA. So can you please find out from NARA if we're giving them acceptable PDFs with correct resolution requirements? I want to be able to tell the licensees that what they are submitting to us are OK and that they can ignore this error when running Adobe Preflights, and I also need to update the guidance to reflect this. Thank you for your assistance!

Thanks,
Kenny Nguyen
OIS/IRSD/ADDPS
301-415-2046

>>> Richard Noble Richard.noble@nara.gov 10/17/07>>>
10/17/07

Tracy,

In response to your below email, the following is information about the Federal Docket Management System (FDMS), including its records management functionality.

As you know, the FDMS is a Federal government portal used to maintain proposed Federal regulations ("rulemaking") and to allow the public to comment on the proposed regulations. FDMS is available through <http://www.regulations.gov>

The following website contains a Government Computer News article on FDMS:
http://www.gcn.com/print/26_26/45188-1.html

The Environmental Protection Agency (EPA) is the host for FDMS. I understand that Federal agencies may register to participate in FDMS by contacting the EPA's FDMS Project Management Office (PMO). FDMS has a records management application functionality using Documentum software. This RMA is compliant with DoD 5015.2-STD. NARA has not endorsed FDMS or its RMA, but, of course, NARA has endorsed use of DoD 5015.2-STD as the standard for RMAs for Federal agencies. NARA participated in developing the requirements for the RMA component of FDMS.

EPA has scheduled the FDMS system. However, that schedule covers only the FDMS administrative records and not the creating agencies' rulemaking records maintained on FDMS. Each agency is responsible for scheduling of its own records on FDMS.

I understand that, when an agency joins FDMS, the agency is provided information on how to use the RMA component.

As referenced above, I understand that if NRC decided to use FDMS to manage its proposed regulations, NRC would need to contact the EPA FDMS PMO to register for this. I couldn't find the PMO's contact information listed on the above website. However, I think that you should be able to find out this contact information by contacting the general number given for FDMS on the above website (1-877-378-5457) or the EPA Records Officer John Ellis (202-566-1643) or the EPA CIO (whose name and contact information I don't know).

I hope this information is helpful.

- Rich Noble
NARA
301-837-2019

>>> "Tracy Clark" <TLC1@nrc.gov> 10/16/2007 2:31 PM >>>
Hi Rich,

Debbie and I met with some colleagues regarding collection of comments on rulemakings in a new system called FDMS, which is a document management system. We were told that this is "NARA approved". We're not exactly sure what that means so we would like to find out if this system does indeed have recordkeeping functionality and if some type of schedule has been approved. I believe EPA was mentioned as an agency that is already using this FDMS.

Could you look into this and see if NARA has done any scheduling of this system and let me know what you find out? Let me know if you need more info. Thanks!

Tracy L. Clark, Records Management Analyst
Records & FOIA/Privacy Services Branch
Information & Records Services Division
Office of Information Services

>>> Richard Noble richard.noble@nara.gov 11/14/07>>>
11/14/07

Debbie, That sounds fine. I'll expect a phone call from you at 9:30 a.m. on Monday (Nov. 19). Thanks very much.

- Rich
NARA
301-837-2019

>>> "Deborah Armentrout" <DHA1@nrc.gov> 11/14/2007 12:48 PM >>>
Hi Rich- How about next Monday at 9:30? (This week has flown by and I
am only in the office one more day.)

>>> Richard Noble richard.noble@nara.gov 11/13/07>>>
11/13/07
Debbie,

I'd like to set a time for us this week to discuss (by phone) the issues we raised last week. These issues include:

- 1: Finalizing the revised work plan for the "scheduling NRC e-systems" Targetted Assistance project. (The particular issue is my request for each system to be scheduled on a separate SF115.)
- 2: How to handle permanent committee records scanned at 200 dpi (per Peggy Sanders email).
- 3: How to schedule Delegation of Authority files.

I'm available the following times:

Wednesday, Nov. 14, 9:30 a.m. – 5:00 p.m.

Thursday, Nov. 15, 9:30 a.m. – noon; 2:30 p.m. – 5:00 p.m.

Friday, Nov. 16, 9:30 a.m. – noon.

If necessary we could have the discussion next week. I'm available 9:30 a.m. – 5:00 p.m. on Monday, Tuesday, and Wednesday of next week (Nov. 19-21).

Do you want to suggest a date and time for the phone call?

- Rich
NARA
301-837-2019

<<< Richard Noble Richard.noble@nara.gov 11/19/07>>>

11/19/07

Debbie,

In advance of our teleconference tomorrow afternoon, I thought I'd give you my thoughts on scheduling NRC delegations of authority.

1: I agree with you that GRS 23, item 1, and NC1-431-81-5, item 1.2.15, do not seem appropriate for scheduling these records. Specifically, GRS 23/1 is meant for very routine, unimportant records, and some delegations of authority (e.g., at high levels) can be significant. And NC1-431-81-5/1.2.15 is for general subject correspondence files, which doesn't seem to cover delegations of authority.

2: You're correct that the Introduction to GRS 16 indicates that files with potential archival value (including delegations of authority) are not covered by GRS 16. However, I think that routine delegations of authority might be scheduled under GRS 16/1a (Administrative Issuances). This is what Army does for "Delegation of Signature Authority" records. (ARIMS item 25-50a).

3: NARA schedules as permanent: signed record copies of NARA Notices (item 105-3), including temporary designations of authority. NARA schedules as temporary: designation files covering functions like signing property passes or time cards (item 208).

4: Air Force schedules formal delegations and assignments of authority and responsibilities issued by Secretary of Air Force (SAF) as permanent, if maintained at SAF, HQ USAF, or MAJCOM levels (Table 33-46, Rules 1 and 3 in AFRIMS RDS). Other delegations of authority are temporary ("destroy when superseded") under 33-46/19.

Navy takes a similar approach to Air Force. Documents delegating authority to subordinate staffs or at low-level offices are temporary (Navy Manual 5210.1, SSIC 5402, items 1.a. and 1.b.(2)(a)). Documents broadly delegating authority issued by high level offices are permanent (SSIC 5402, item 1.b.(1)).

I couldn't find any Army disposition authority for permanent delegations of authority.

The military services' records disposition schedules are available on line at:

<https://afrims.amc.af.mil>

<https://www.arims.army.mil/>

<http://doni.daps.dla.mil/secnavmanuals.aspx>

5: So, it seems that one option for NRC would be to schedule high-level delegations of authority as permanent and low-level ones as temporary.

- Rich Noble

NARA

301-837-2019

>>> "Deborah Armentrout" <DHA1@nrc.gov> 11/8/2007 1:20 PM >>>

Rich -

I apologize for not getting back to you earlier this week. I am out sick today and have been suffering with laryngitis all week. We have a few things to talk about so I am thinking that maybe we should set up a time next week to go over all the issues.

I have a question though that I am hoping you can answer rather quickly. We are having a difficult time figuring out whether our Delegation of Authority files are scheduled. GRS 16 states that they should be scheduled on a separate SF115. However, my predecessor used GRS 23, 1. And, another staff member said it was NC1-431-81-5, Item 1.2.15. Margie and I don't agree with either of those and think that they were never scheduled.

Do you have any suggestions? Have you scheduled these records for any of your other agencies? Are there any examples that you could provide me? (I don't need them today).

your thoughts?
thanks, Debbie

From: Richard Noble
To: DHA1@nrc.gov
Date: 11/21/2007 9:51:04 AM
Subject: FY08 Work Plan for scheduling NRC systems

11/21/07

Debbie,

Following up on our teleconference yesterday, I have attached the final version of the FY08 Work Plan for the Targeted Assistance project for NRC to schedule electronic information systems. This work plan calls for scheduling 50 NRC systems in FY08. (This work plan revises the out-of-date work plan for this TA project that was prepared in 2003.) I'll put the attached FY08 Work Plan in the NWML official folder for this TA project.

As we discussed, under this Work Plan, when NRC submits any Big Bucket schedules for systems, I ask that the schedule list current systems covered by the Big Bucket. When NRC submits schedules that are not Big Buckets, I ask that each schedule cover only one system. These two approaches will help streamline the NARA approval process for these schedules.

I look forward to receiving the schedules for the first batch of systems under this work plan.

- Rich Noble
NARA/NWML
301-837-2019

November 21, 2007

Revision to:

Memorandum of Understanding

Between

Nuclear Regulatory Commission

and National Archives and Records Administration, Life Cycle Management Division

Revised Work Plan, covering FY08:

This FY08 work plan calls for NRC to submit disposition schedules for 50 previously unscheduled electronic information systems and for NARA to work closely with NRC to ensure approval by the Archivist of the United States of schedules for as many of these systems as possible before the close of FY08.

Phase One: Scheduling first batch of systems

Milestones:

Dec. 31, 2007: NRC submits, for NARA review, draft schedules covering 15 systems

Jan. 31, 2008: NARA provides comments to NRC on the schedules covering 15 systems

Feb. 28, 2008: NRC submits in final form the schedules for these 15 systems

Aug. 31, 2008: NARA reviews and processes for approval the schedules for these 15 systems. NARA ensures that as many of these 15 systems as possible have their schedules approved by the Archivist of the United States by August 31, 2008. (See Note.)

Phase Two: Scheduling second batch of systems

Milestones:

March 15, 2008: NRC submits in final form the schedules for 20 additional systems. (Draft schedules should not be necessary, since the important scheduling questions should have been resolved in Phase One.)

Sept. 15, 2008: NARA reviews and processes for approval the schedules for these 20 systems. NARA ensures that as many of these 20 systems as possible have their schedules approved by the Archivist of the United States by Sept. 15, 2008. (See Note.)

Phase Three: Scheduling third batch of systems

Milestones:

March 31, 2008: NRC submits in final form the schedules for 15 additional systems. (Draft schedules should not be necessary, since the important scheduling questions should have been resolved in Phase One.)

Sept. 30, 2008: NARA reviews and processes for approval the schedules for these 15 systems. NARA ensures that as many of these 15 systems as possible have their schedules approved by the Archivist of the United States by Sept. 30, 2008. (See Note.)

Note: For any systems schedules which cannot be approved by the milestone date, NARA will provide NRC with an explanation of the delay in approval.

>>> Richard Noble Richard.noble@nara.gov 11/21/07>>>
11/21/07

Peggy,

Thanks very much.

- Rich Noble
NARA
301-837-2019

>>> "Peggy Sanders" <PKS1@nrc.gov> 11/20/2007 4:02 PM >>>
Rich,

Per our telephone conversation, attached is the link to the Federal Advisory Committee Act as well as the specific section in question.

Thank you for your help.

Peggy

>>> "Jamila Perry" <JIP1@nrc.gov> 10/31/2007 5:15 PM >>>
Hi Peggy,

Here is the information you wanted for Debbi to see if the issue of keeping the information for the life of the committee was a matter of interpretation or not. Below the excerpt from the FACA website and the link to the full section.

"b) Subject to section 552 of title 5, United States Code, the records, reports, transcripts, minutes, appendixes, working papers, drafts, studies, agenda, or other documents which were made available to or prepared for or by each advisory committee shall be available for public inspection and copying at a single location in the offices of the advisory committee or the agency to which the advisory committee reports until the advisory committee ceases to exist."

<http://www.archives.gov/federal-register/laws/fed-advisory-committee/10.html>

Also, there was discussion about having our records retention updated. What is the process for going about this?

>>> "Thomas Smith" <TES@nrc.gov> 11/27/2007 12:08 PM >>>
John....it's been a while since you visited us at the NRC. Since your last visit we have consolidated all three of our guidance documents on electronic submissions to the NRC and published it on June 28, 2007. We revised it on 9/11/07 and published yet another update on 10/4/07. Revision 3 was posted to our web site on Monday and incorporates comments from the nuclear industry and DOE.

As one of the NARA experts in electronic and special media, I invite you to review the latest version of our guidance document. You are also welcome to distribute it as well to your colleagues. Please let me know if you see any red flags with what we have written. You can go to the guidance using this URL:

<http://www.nrc.gov/site-help/e-submittals.html>

I have attached a PDF version as well. Best wishes for a happy holiday season.

>>> Richard Noble Richard.noble@nara.gov 11/30/07>>>
11/30/07
Debbie,

At our teleconference on November 20, you asked me to find out how NARA deals with the FACA requirement that FACA committee records be made publicly available at the committee or its agency for the duration of the committee. In particular, you asked about how this requirement affects the transfer of permanent records to NARA when a FACA committee is of long duration. (This issue relates to our discussion of the NRC advisory committee documents scanned at 200 d.p.i.)

As you suggested, I asked Steve Cooper of my office about this. He pointed out that permanent FACA committee records are covered by GRS 26, item 2a, for which the disposition is: "Permanent. Transfer to the National Archives on termination of the Commission. Earlier transfer is authorized for commissions operating for 3 years or longer."

The last sentence of that disposition appears to be in conflict with the FACA requirement. However, Steve told me that, in preparing this GRS item (which was issued in Sept. 2004), NARA obtained from the GSA legal counsel an opinion that FACA committee records can be transferred to the National Archives before the committee expires (and temporary records even can be disposed of before the committee expires). (I understand that GSA oversees FACA committees government-wide.) The reason for this GSA legal opinion, according to Steve, was that, when enacted several decades ago, the FACA was based on the assumption that most of the committees would exist for no more than 3 years. It turned out that many FACA committees last a long time, e.g., 30 years or more. It is unrealistic to expect a committee to retain records in its own offices for that long. There is little interest in revising the FACA to include this change, but the GSA legal opinion is sufficient to allow NARA to approve dispositions that are prior to the termination of the committee.

- Rich Noble
NARA
301-837-2019

>>> "Richard Noble" richard.noble@nara.gov 12/20/07 >>>
12/20/07
Debbie,

Here is my understanding of the ADAMS schedules as they relate to media neutrality.

1: Since the ADAMS schedules were submitted to NARA for approval prior to December 17, 2007, they are clearly not covered by the prospective media neutral (MN) provisions of the new NARA regulations [specifically, 36 CFR 1228.24(b)(3)].

2: Therefore, the ADAMS schedules are media neutral to the extent that they are consistent with NARA's new retrospective MN regulations (36 CFR 1228.31) and GRS 20, items 2a, 3, and 3.1.

3: Specifically, if NRC scans the paper records created prior to 4/1/2000, the paper copies are covered by new GRS 20, item 2(a)(4), provided that none of the provisions of GRS 20, items 2(a)(1) through 2(a)(3) are met. Under GRS 20/2(a)(4), the paper copies can be disposed of after scanning in accordance with the provisions of that GRS 20 item. Thus, for any paper records that are scanned, the electronic version becomes the recordkeeping copy. Obviously, for any paper records not scanned, the paper copy remains the recordkeeping copy. I see no provision in the new GRS 20 items that indicates that a given series must be designated as either entirely paper or entirely electronic.

4: For the electronic records included in the ADAMS schedules, I believe that the ADAMS schedules specify that the recordkeeping copies (i.e., currently, the PDF copies – usually item "(4)" or "d." in the NRC Comprehensive Records Disposition Schedule) are exclusively electronic, although transfer of paper or microform copies to the National Archives may be done if necessary. (I'm defining "recordkeeping copy" here as the copy with the longest retention period. There may be a better term for this concept than "recordkeeping copy", but I can't think of one.)

Also, at our December 12 telecon, you asked the following question. When an agency does incremental scanning of a series of permanent scheduled paper records, what is the "trigger" (my word) for the requirement that the agency notify NARA of the scanning, under 36 CFR 1228.31(b)(1) and GRS 20, item 3.1? This new CFR section indicates that notification must be submitted within 90 days of when the electronic recordkeeping system becomes operational. You asked how NARA defined when such a system becomes operational, particularly for a scanning project.

The answer to your question is that NARA interprets this regulation as meaning that the "trigger date" for an agency to have 90 days to notify NARA [under 36 CFR 1228.31(b)(1)] of the conversion from paper to electronic recordkeeping for permanent records, including scanning, is:

A: no earlier than when the electronic system (including a scanning system) has been purchased and the agency knows the technical specifications of the electronic records to be created, and

B: no later than when the first electronic records are produced (e.g., in the case of scanning, when the first paper records are scanned into electronic format).

Option A has the advantage to the agency that NARA might be able to approve the electronic format (as appropriate for future transfer to the National Archives) in time for the agency to dispose of the paper copies [under GRS 20, item 2(a)(4)] as the scanning is done and verified. (Such "concurrent disposal" – again, my phrase -- might be more efficient for the agency.)

- Rich
NARA
301-837-2019

>>> "Deborah Armentrout" <DHA1@nrc.gov> 12/19/2007 12:47 PM >>>
Rich - Per our discussion recently, can we deem that the ADAMS schedules are now media neutral and that we will have a hybrid series of records? Or, do we have to state specifically that each series will be electronic in its entirety? My concern is that the way we will image our records is that particular case files in a series will be electronic but not necessarily the entire series.

From: Deborah Armentrout <Deborah.Armentrout@nrc.gov>
To: "richard.noble@nara.gov" <richard.noble@nara.gov>
Date: Wed, Jan 2, 2008 4:11 PM
Subject: FW: The Four Schedules in NRC Concurrence Review

Rich,
Happy New Year!

Attached are 4 draft schedules that are currently going to the NRC for internal concurrence. I hope that we can formally submit them to you by the end of the month.

- Debbie

-----Original Message-----

From: Jay Blewett
Sent: Thursday, December 20, 2007 11:56 AM
To: Deborah Armentrout; Tracy Clark
Subject: The Four Schedules in NRC Concurrence Review

Debbie,
You asked to have electronic copies of the four schedules in internal concurrence routing. They are attached. Merry Christmas to Rich Nobel. Jay

Jay Blewett
Millican & Associates
jxb10@nrc.gov
301-415-6859
Room T-5 F-49

CC: Tracy Clark <Tracy.Clark@nrc.gov>, Jay Blewett <Jay.Blewett@nrc.gov>



UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

January 14, 2008

Lawrence Brewer
Director, Life Cycle Management Division
National Archives at College Park
8601 Adelphi Road
NWML, Room 2100
College Park, MD 20740

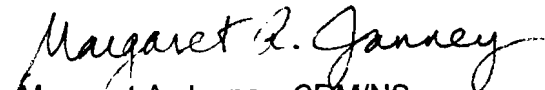
Subject: SF-115 for NSIR Subject and Case Files

Dear Mr. Brewer:

Attached is one SF-115 containing two items for registration and approval by NARA.

Please forward the NARA Job Number to me when it has been assigned. Please contact Deborah Armentrout at (301) 415-7228 if you need additional information.

Sincerely,


Margaret A. Janney, CRM/NS
Chief, Records and FOIA/Privacy Services Branch
Office of Information Services

<<< "Richard Noble" Richard.noble@nara.gov 2/13/08 >>>
2/13/08
Debbie,

In response to your below email regarding John Beatty's question, I can tell you that NARA has not prepared a table (or matrix) of the acceptable technical formats for permanent electronic records. And NARA has no plans to create such a table at this time.

Although there is no such table to answer John Beatty's below question, I've tried to provide some relevant information in this email.

As you know, the best way to check on the acceptability of formats is to review some of the NARA guidance. I believe that the document "NARA Electronic Records Management (ERM) Guidance on the Web" is the best source of this guidance. It is available at:

<http://archives.gov/records-mgmt/initiatives/erm-guidance.html>

As you know, for the six "new" electronic records formats, the relevant NARA guidance, listed on the above website, have titles starting "Expanding Acceptable Transfer Requirements:" As you know, the six formats are email with attachments, PDF, scanned images of textual records, digital photographs, web content records, and digital geospatial data.

Other guidance listed in the "NARA ERM Guidance on the Web" and possibly relevant to John Beatty's request are:

"Frequently Asked Questions about Digital Audio and Video Records"

"Frequently Asked Questions about Transferring Permanent Records in PDF/A-1 to NARA"

"Frequently Asked Questions about Selecting Sustainable Formats for Electronic Records"

- Rich Noble
NARA
301-837-2019

>>> Deborah Armentrout <Deborah.Armentrout@nrc.gov> 2/12/2008 4:31 PM >>>

Rich - Although NARA provides transfer guidance, is there a matrix or something that shows the currently acceptable formats? (I can't recall one from 1+ year ago). If so, it may help me answer the question below.

-----Original Message-----

From: John Beatty
Sent: Tuesday, February 12, 2008 2:32 PM
To: Deborah Armentrout
Subject: Quindi Meeting Companion

Debbie,

I am evaluating a meeting capture software product, called Quindi Meeting Companion, and would like to examine the records/archival implications. The application captures and synchronizes the audio, video, PowerPoint slides, and meeting notes from meetings, presentations, or teleconferences. Notes are time-stamped and are captured by either automatically from the PowerPoint slide titles or by manually typing or pasting text into Quindi Meeting Companion. The resulting .qmd file contains all the content and can be played back or edited using Quindi Meeting Companion, which for unlicensed copies of the software acts as a free viewer. The .qmd file can also be saved as a Web page.

The following are the possible file types associated with a Web page created from a .qmd file:

A/V files: .wmv, or .wma if audio-only capture
Images: .png, or .jpg for snapshots
Notes: .doc
Misc. Web-related files: .htm, .gif, .css, .js

The product Web site is: www.quindi.com

Attached is the Quindi Meeting Companion Users Manual.

Thanks, --John

>>> Tracy Clark <Tracy.Clark@nrc.gov> 1/29/2008 6:58 AM >>>
Okay, thanks for getting back to me Rich. This is most helpful!

>>> Richard Noble Richard.noble@nara.gov 1/28/07>>>
1/28/07
Tracy,

This responds to your telephone question from Thursday.

The relevant job number for the GSA HSPD12 identify management records schedule was N1-137-06-1 (not N1-269-06-1). N1-137-06-1 was withdrawn last year because NARA decided to prepare GRS items covering all agencies' HSPD12 records. The earliest that these GRS items will be approved by NARA is Sept. 30, 2008, but the approval could easily be delayed beyond that date.

So, NRC has the option of waiting until those GRS items are approved by NARA or submitting its own schedule to cover NRC's HSPD12 records. Existing items under GRS 11 and GRS 18 do not adequately cover HSPD12 records.

- Rich Noble
NARA
301-837-2019

From: Jay Blewett <Jay.Blewett@nrc.gov>
To: Richard Noble <richard.noble@nara.gov>
Date: Tue, Feb 19, 2008 9:52 AM
Subject: FW: Draft NRC Records Schedules

Rich,
Debbie Armentrout asked that I forward you copies of the DRAFT schedules that are in NRC concurrence routing at this time:

- Emergency Response Data System (ERDS)
- Transport Approval Package Identification System (TAPIS)
- Waste Disposal Tracking System (WDTS)
- National Sealed Source & Device Registry (NSSDRS)
- Decommissioning Rad Materials & Terminating Licenses (CSTS / TLTS)
- General Licensing Tracking System (GLTS)
- Reactor Program Systems (RPS)
- Industry Trends Program (ITP)
- Rational Tool Set and NSICD (Rational)

Let me know if I can be of service while you look at these nine schedules. Jay

Jay Blewett
301-415-6859
T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RASS

-----Original Message-----

From: Deborah Armentrout
Sent: Tuesday, February 12, 2008 12:33 PM
To: Jay Blewett
Cc: Tracy Clark; Richard Noble
Subject: FW: Draft schedules

Jay - Please send the draft schedules that are in the process of internal concurrence to Rich Noble at NARA.

Thanks,
Debbie

-----Original Message-----

From: Richard Noble [mailto:richard.noble@nara.gov]
Sent: Tuesday, February 12, 2008 10:33 AM
To: Deborah Armentrout
Subject: Draft schedules

2/12/08

Debbie,

Thanks for your below email. Yes, if it's not a great deal of trouble, I'd appreciate your sending me the seven additional draft schedules. If I have time, I'll send you my comments and questions on them prior to your submitting them in final.

Also, I still plan to email you some comments and questions on the following three draft schedules that I already have:

- Rational Suite of Tools (Rational)
- TAPIS
- NSSDRS

However, please don't delay the final submission of any of these schedules because you are waiting for my comments or questions. I realize that I am very slow in providing my responses. And, once you submit the schedules in final, I can still send you my comments and questions at that point.

Thanks very much.

- Rich Noble
NARA
301-837-2019

>>> Deborah Armentrout <Deborah.Armentrout@nrc.gov> 2/8/2008 1:19 PM
>>>

Thanks! (We have seven schedules out right now for internal concurrence, do you want the drafts?)

-----Original Message-----

From: Richard Noble [mailto:richard.noble@nara.gov]
Sent: Friday, February 08, 2008 10:48 AM
To: Deborah Armentrout
Subject: Fwd: FY08 Work Plan for scheduling NRC systems

2/8/08
Debbie,

Responding to your voice mail this morning, the date of the T.A. work plan revision was November 21, 2007. Appended below is the email (with attachment) transmitting that revision.

- Rich

>>> Richard Noble 11/21/2007 9:51 AM >>>
11/21/07

Debbie,

Following up on our teleconference yesterday, I have attached the final version of the FY08 Work Plan for the Targeted Assistance project for NRC to schedule electronic information systems. This work plan calls for scheduling 50 NRC systems in FY08. (This work plan revises the out-of-date work plan for this TA project that was prepared in 2003.) I'll put the attached FY08 Work Plan in the NWML official folder for this TA project.

As we discussed, under this Work Plan, when NRC submits any Big Bucket

schedules for systems, I ask that the schedule list current systems covered by the Big Bucket. When NRC submits schedules that are not Big Buckets, I ask that each schedule cover only one system. These two approaches will help streamline the NARA approval process for these schedules.

I look forward to receiving the schedules for the first batch of systems under this work plan.

- Rich Noble
NARA/NWML
301-837-2019

CC: Deborah Armentrout <Deborah.Armentrout@nrc.gov>, Tracy Clark
<Tracy.Clark@nrc.gov>

>>> "Barbara Fleming" <BFF@nrc.gov> 2/27/2008 4:13 PM >>>
Thank you for replying with this information; it's helpful.

>>> "Richard Noble" Richard.noble@nara.gov 2/27/08>>>
2/27/08
Barbara,

For inquiries concerning NRC records accessioned into the National Archives, the NARA contact is Ann Cummings (phone: 301-837-1931; email: ann.cummings@nara.gov)

I should explain that Ann is the head of the reference branch at the National Archives, so she is very busy. I believe that she would refer the inquirer to another member of her staff to answer the question. There are no longer specialists in the reference branch that handle particular agencies as Alan Walker and Marjorie Ciarlante did.

FYI: Alan Walker no longer works for the reference branch, and Marjorie Ciarlante has left NARA.

I am the correct NARA contact to receive NRC's questions about records management issues.

- Rich Noble
NARA
301-837-2019

>>> "Barbara Fleming" <BFF@nrc.gov> 2/27/2008 12:34 PM >>>
Mr. Noble,

This email is a repeat of a previous attempt which may or may not have reached you.

As a records manager and FOIA coordinator here at the Nuclear Regulatory Commission, I'm asked for a contact name at NARA when records have already gone to NARA.

I've had names of Majorie Ciarlante and Alan Walker in the past. When I saw your name in a NARA list of contacts, I wondered if we should be using your name as the contact for NRC records at NARA.

Barbara Fleming

>>> Jill Glenewinkel 2/27/2008 8:21 AM >>>
Rich,

See the string of e-mails based on a request from NRC.

JILL

>>> Susan Sullivan 2/27/2008 7:27 AM >>>
FYI
Susan

>>> Mark Giguere 2/26/2008 12:43 PM >>>

Hello Jeff: I have no current plans to present this briefing in Federal/DC sector. Please coordinate any requests for a local discussion through your appraisal archivist.
mg

Dr. Mark D. Giguere
Lead Information Technology (Policy & Planning) &
ERM eGov co-Program Manager
Modern Records Programs
NARA - NWM
8601 Adelphi Road #2107
College Park, MD 20740-6001
V: (301) 837-1744
F: (301) 837-3697

>>> Jeffrey Bartlett <Jeffrey.Bartlett@nrc.gov> 2/26/2008 11:31 AM >>>

Mark, I see that you are making a presentation at the Electronic Records Forum in Austin, Texas on PDF/A. Unfortunately, due to resource limitations we will not be able to send someone to attend this event. However, we continue to be interested in all new information regarding NARA's acceptance and implementation of this format for use in the Federal sector. Therefore, we wonder if you will be making any other presentations in the near future in the Washington metropolitan area. If you have no plans for local briefings regarding the current status of this format, we may want to set up a meeting with you to discuss. Please let me know your plans in this area in the near future so that we can take steps to attend your next presentation, or to set up a meeting with you to discuss. Thanks for your help! Jeff BartlettSenior Records AnalystU.S. Nuclear Regulatory Commission301-415-0243

>>> "Richard Noble" Richard.noble@nara.gov 2/27/08>>>
2/27/08
Jeff,

That guidance was published Sept. 30, 2006.

In researching your question, I learned that all the guidance and other publications included on the NARA Toolkit for Managing Electronic Records, have the publication date listed in the "summary description" provided in the toolkit.

The web address of the toolkit is:

<http://toolkit.archives.gov>

- Rich Noble
NARA
301-837-2019

>>> Jeffrey Bartlett <Jeffrey.Bartlett@nrc.gov> 2/27/2008 12:29 PM >>>
Richard,

I am writing a records management guideline for the NRC pointing to NARA's guidance on "Implications of Recent Web Technologies for NARA Web Guidance" and would like to reference the date of this document. Unfortunately, when we print or access the document on the NARA website, the date changes every time we open the page. So, we are not able to find the actual date that this document was published. Can you provide me with the actual date of this document so I can reference it to our staff

From: Deborah Armentrout <Deborah.Armentrout@nrc.gov>
To: Richard Noble <richard.noble@nara.gov>
Date: Fri, Mar 7, 2008 10:13 PM
Subject: RE: E-systems schedules

Rich - Sorry that I didn't respond earlier. We are having a difficult time moving the schedules through the concurrence process. They are getting hung up in the program offices. We will track them down in the next week and give you an expected date.

From: Richard Noble [richard.noble@nara.gov]
Sent: Friday, February 22, 2008 12:09 PM
To: Deborah Armentrout
Subject: E-systems schedules

2/22/08

Debbie,

For the sake of emphasis, I decided to send you this as a separate email from mine of today providing my comments on three draft schedules (for NSSDRS, TAPIS, and Rational Suite).

Can you tell me how many schedules NRC will be able to submit in final form by the Feb. 28, 2008, milestone for submission of 15 e-systems schedules (in the attached Targetted Assistance revised work plan)?

It would be great if at least all the nine draft schedules which Jay sent me (see below) could be submitted in final form by that date.

Could you let me know how NRC is progressing on this milestone? Thanks very much.

- Rich Noble
NARA
301-837-2019

>>> Jay Blewett <Jay.Blewett@nrc.gov> 2/19/2008 9:51 AM >>>

Rich,

Debbie Armentrout asked that I forward you copies of the DRAFT schedules that are in NRC concurrence routing at this time:

- Emergency Response Data System (ERDS)
- Transport Approval Package Identification System (TAPIS)
- Waste Disposal Tracking System (WDTS)
- National Sealed Source & Device Registry (NSSDRS)
- Decommissioning Rad Materials & Terminating Licenses (CSTS /

TLTS)

- General Licensing Tracking System (GLTS)
- Reactor Program Systems (RPS)
- Industry Trends Program (ITP)
- Rational Tool Set and NSICD (Rational)

Let me know if I can be of service while you look at these nine schedules. Jay

Jay Blewett

301-415-6859
T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RASS

CC: Tracy Clark <Tracy.Clark@nrc.gov>, Jay Blewett <Jay.Blewett@nrc.gov>

From: Deborah Armentrout <Deborah.Armentrout@nrc.gov>
To: Richard Noble <richard.noble@nara.gov>
Date: Thu, Mar 27, 2008 5:09 PM
Subject: the schedules

(b)(6)

Rich - the SF115s are still out for internal concurrence. [REDACTED]
[REDACTED]

As for coming out for the meeting, that would be good. We also would like for you and John Powell to talk with a group that has great concerns about sending records to NARA. (You know, they don't respond to me as being NARA anymore).

I'll be in contact about both of the above.

thanks,
Debbie

From: Deborah Armentrout <Deborah.Armentrout@nrc.gov>
To: "Richard Noble" <richard.noble@nara.gov>
Date: Fri, Mar 28, 2008 2:51 PM
Subject: RE: Emergency planning maps

Rich - Thanks for your help. When I get back to the office next week, we will start moving on this.

-----Original Message-----

From: Richard Noble [mailto:richard.noble@nara.gov]
Sent: Friday, March 28, 2008 12:24 PM
To: Deborah Armentrout
Cc: Richard Smith
Subject: RE: Emergency planning maps

3/28/08

Debbie,

The following is the information to assist you in shipping the oversize photographic negatives from Archives II to WNRC (Suitland).

I talked to Matt Eidson (whom you'll remember), Director of the Center Operations Division for WNRC. Matt told me that there shouldn't be any problem in WNRC accepting the retirement of these negatives. He did say that WNRC needs to know the size of the containers, since they are oversize. NRC will just need to submit an SF135 for them according to the usual procedure. The SF135 may cite GRS 17, item 1, as the disposition authority. As you know, the SF135 can be emailed to WNRC at suitland.transfer@nara.gov or faxed to WNRC at 301-778-1553.

If you need assistance in preparing the SF135, you could contact James Yeargins at 301-778-1542 or james.yeargins@nara.gov or simply contact the WNRC's general phone number for transfers: 301-778-1650.

There are two issues regarding these negatives:

1: They are oversize and housed in non-standard containers. Specifically, there are ten containers, three of which are ca. 53" long and seven of which are ca. 49" long. Eight containers are tubes, each of which contains one roll of negatives; two containers are rectangular boxes, each of which contains three rolls of negatives. The circumference of the eight tubes varies from 4" to 9". The height and width of the two boxes is ca. 17" X 13".

Nine of the containers are open at one end. (This is because the negatives are longer than the container, so a "cap" or other closure can't be placed at the end.) One of the containers is open at both ends.

2: Matt mentioned to me that WNRC could deliver the containers from A-II to WNRC for some price over \$100. He said that, if NRC uses its courier agreement with WNRC for the delivery, the price might be less than it otherwise would be.

I hope this information will help you get these negatives delivered to

WNRC.

- Rich
NARA
301-837-2019

>>> Deborah Armentrout <Deborah.Armentrout@nrc.gov> 3/27/2008 5:16 PM
>>>

Rich Noble, NWML, is being very helpful and said that he would contact the WNRC and find out the process. We will let you know as soon as this is worked out.

-----Original Message-----

From: Richard Smith [mailto:richard.smith@nara.gov]
Sent: Thursday, March 27, 2008 2:34 PM
To: Deborah Armentrout
Subject: RE: Emergency planning maps

We are not an agent for the WNRC. You must make all arrangements including shipping.

>>> Deborah Armentrout <Deborah.Armentrout@nrc.gov> 3/27/2008 11:54 AM
>>>

Richard,

As requested in my email of 1/31, we would like to know if we can transfer Item #1 to Suitland while we determine our next action. Do I need to contact someone else or can you find out the answer for us?,

I have copied Richard Noble our NWML appraisal archivist on this in case he can provide the answer.

Please note that as much as we have been working with you to get this completed, sometimes our priorities here at the agency have not allowed us to take immediate action.

Please advise and thanks,
Debbie

-----Original Message-----

From: Richard Smith [mailto:richard.smith@nara.gov]
Sent: Thursday, March 27, 2008 9:28 AM
To: Deborah Armentrout
Subject: RE: Emergency planning maps

So, how much longer do you think that it would be reasonable for us to wait on this? We are patient, but this discussion has been going on for over a year....
Please send a truck soon.

>>> Deborah Armentrout <Deborah.Armentrout@nrc.gov> 1/31/2008 5:04 PM
>>>

Hi Richard - I am trying to follow up on where we are with this. Unfortunately, Tyrone has been on extended leave. I am also curious as

to whether we can transfer Item #1 to Suitland while we figure out how we are going to handle.

Please advise and thanks,
Debbie

-----Original Message-----

From: Richard Smith [mailto:richard.smith@nara.gov]
Sent: Wednesday, October 03, 2007 2:38 PM
To: Deborah Armentrout
Cc: Richard Noble; Tyrone Greene; Margie Janney
Subject: Re: Emergency planning maps

Fine.

>>> "Deborah Armentrout" <DHA1@nrc.gov> 10/3/2007 11:37 AM >>>
Richard,
We have agreed to pull Item #1 below until the NRC can work on an appropriate way to handle. Tyrone will be in contact with you about this process.

Thanks for your patience.
- Debbie

>>> "Richard Smith" <richard.smith@nara.gov> 10/03/2007 10:40:42 AM
>>>
Still waiting to hear the NRC response on this.....

>>> Richard Noble 8/29/2007 12:34 PM >>>
8/29/07
Debbie,

This email concerns the negatives and other copies of the NRC emergency planning maps held by Richard Smith's office (NWCS) at NARA, which were received in two accessions in 2002. (See also Richard's below email of 6/18/07 to Margie.)

I reviewed these materials yesterday, with assistance from Richard. I wanted to tell you what I've determined about them and what I'm recommending for them (taking into account Richard's advice):

1: I reviewed a few of the oversize items (ca. 45 inches by 60 inches). These are all photographic negatives used to print paper maps.

For a given nuclear power plant, there tend to be three or four negatives, each for a different color of the printed map. Although I'm not absolutely sure of this particular point, I believe that all these oversize negatives are of maps, dating from the early 1980s, depicting a 10-mile radius of each power plant (corresponding to the paper maps covered by NC1-431-81-3, item 1.a.). I estimate there are about 150 of the oversize negatives in the accessions received by NWCS in 2002.

I agree with Richard's view, stated in his below email, that these

items are disposable under GRS 17, item 1 (Cartographic Records Prepared During Intermediate Stages of Publication). NARA therefore needs either to destroy them, or to return them to NRC if NRC wants to try to make paper copies from them. (If NRC prints paper copies, the paper copies would then be permanent, of course, under NC1-431-81-3, item 1a.) NWCS would not be able to print paper copies from these negatives.

Richard couldn't give any advice on which printing companies NRC might use to print maps from these oversize negatives, since NWCS isn't involved with printing of maps. He did mention that he thought that USGS has a big printing plant (in Virginia, I think).

Richard also mentioned the likelihood that paper copies of these negatives are still extant somewhere in NRC, since multiple copies were probably made. (But I'm sure you've thought of that yourself.)

So, NRC needs to decide whether to take back these negatives or to have NWCS destroy them.

2: I reviewed most of the smaller items. These all appear to be ca. 8" X 10" color film copies of the 50-mile radius maps, corresponding to the paper copies covered by NC1-431-81-3, item 1.b. Based on Richard's comments, I believe that these copies are not negatives but instead positive (film) copies of the maps. The maps are all dated 1981 or 1982, and each is for a different nuclear power plant.

I estimate that the 2002 accessions received by NWCS include about 60 of these film copies of maps.

Richard said that the National Archives (NWCS) is willing to retain these film copies until NRC is able to provide the National Archives with paper copies (at which point NWCS would destroy these film copies as extra copies). Richard's reason for this is that, although NC1-431-81-3, item 1.b., clearly was intended to cover paper copies and not these film copies, the film copies are the best available at present. I agree with Richard's view on this.

In summary of my points 1 and 2 above, the one pending issue is for NRC to decide whether the oversize negatives (covered by point 1) should be destroyed or returned to NRC.

Please let me know if you have any questions on this. Thanks.

Rich Noble
NARA
301-837-2019

>>> Richard Smith 6/18/2007 1:42 PM >>>
Margie Janney, NRC Records Manager:

As discussed last February, we have some temporary records relating to NRC Emergency Planning Maps in the Cartographic Section of the National Archives. I have sent you SF258 and other documents regarding this problematic transfer. You promised to get back with us on this, but we have not heard from you on this issue since February.

Briefly the records in question were stored in the WNRC as 431-01-0766 and 431-01A0766. They were offered to the National Archives in February, 2002 and accepted for transfer. They were finally brought to the National Archives in College Park in October, 2002. I have looked at the records and they consist of several hundred (?) large photographic printing negatives and scribed sheets (about 45 by 60 inches each) that were used to print the Emergency Planning Maps. Also included are about 50 8 by 10 inch color negative copies of the maps. No copies of what I assume were large printed color maps were included in this transfer.

I am confident that the large printing negatives are disposable under GRS 17, Item 1 and that the negative copies of the maps are disposable under NC1-431-81-3, Item 1c "copies of maps." We have not received the "record set of maps" described under NC1-431-81-3 Items 1a and 1b, but we would be glad to accession them when you are in a position to offer them.

In summary, the records sent to us by the NRC in October, 2002, are temporary, disposable records, and they cannot be accessioned into the National Archives. Your concurrence in the destruction of these records is not required and we intend to destroy them on August 1, 2007, or shortly thereafter at our convenience. If you want these records for your agency's use, you must come and pick them up before August 1.

I would like to have your acknowledgment of the receipt of this e-mail, but such acknowledgment is not required and we will proceed with the described record destruction even if we do not hear from you.

Richard H. Smith
Senior Archivist
Cartographic Section
National Archives
301-837-3006

CC: Richard Smith <richard.smith@nara.gov>

From: Richard Noble
To: Haynes, Mary
Date: 4/2/2008 9:57:23 AM
Subject: Re: Hello

4/2/08

Mary,

Thanks. It's good to hear from you, from the "other side".

(b)(6) [REDACTED]

That's great that you're working on the e-systems schedules. Sue keeps asking me about them!

- Rich
301-837-2019

>>> Mary Haynes <Mary.Haynes@nrc.gov> 4/2/2008 8:43 AM >>>

Hi Rich,

I just wanted to say "hello." My telephone number here is (301) 415-6625.

(b)(6) I will be working with Jay Blewett [REDACTED]
We are working on E-systems. You will be hearing more soon.

From: Richard Noble
To: Armentrout, Deborah
Date: 4/2/2008 12:03:54 PM
Subject: RE: NRC vital records program

4/2/08

Debbie, Thanks. I'll keep NRC's vital records program in mind for some time in the future.

- Rich

>>> Deborah Armentrout <Deborah.Armentrout@nrc.gov> 4/1/2008 6:37 PM >>>

Although we have some guidance, our program has not been active for several years. We are just in the midst of getting this operational again with support from higher management.

-----Original Message-----

From: Richard Noble [<mailto:richard.noble@nara.gov>]
Sent: Tuesday, April 01, 2008 4:34 PM
To: Deborah Armentrout
Subject: NRC vital records program

4/1/08

Debbie,

Does NRC have a strong vital records program or Continuity of Operations program for records? Laurence Brewer has asked NWML staff to try to identify, by the end of this week, some agencies with such a strong program. Thanks.

- Rich

301-837-2019

From: Richard Noble
To: Margie.Janney@nrc.gov
Date: 4/3/2008 3:52:04 PM
Subject: Monthly status report of SF115s

April 3, 2008

Margie,

Attached is NARA's monthly status report of registered NRC SF115s for March 2008.

- Rich Noble
NARA
301-837-2019

March 2008

Job No.	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-431-08-1	NSIR subject and case records	1/16/2008	Richard Noble	Deborah Armentrout	3/28/2008	Agency contacted for appraisal visit appointment.	

From: Mary Haynes <Mary.Haynes@nrc.gov>
To: Richard Noble <richard.noble@nara.gov>
Date: 4/4/2008 3:02:24 PM
Subject: RE: Second thought

Hi Rich,

I will be attending RACO. I will make a point of taking these items--including the NRC Directive 3.53, "NRC Records and Document Management Program," if you need it. I'll write myself a reminder so that I don't forget. I don't mind if you remind me either.

-----Original Message-----

From: Richard Noble [mailto:richard.noble@nara.gov]
Sent: Friday, April 04, 2008 2:59 PM
To: Mary Haynes
Subject: Second thought

4/4/08

Mary,

On second thought, I think I would like to take you up on your offer to bring the NRC disposition manual to RACO for me, assuming that you'll be going to RACO. (But if I do end up visiting NRC before RACO, I'll get it from you then.)

Thanks. I'm sure we'll be in contact about NRC RM issues over the coming weeks.

- Rich

From: Richard Noble
To: Haynes, Mary
Date: 4/21/2008 10:53:11 AM
Subject: PKI records schedules

4/21/08
Mary,

Thanks for letting me know about the five NRC e-records schedules that will be submitted soon to NWML. I'll look forward to getting them.

Regarding the GRS for PKI records, it has not been approved by NARA. I'm told that it is uncertain how soon it will be approved. Based on what I was told, I would guess it will be several months at least.

I will fax you an approved Air Force job for PKI records: N1-AFU-03-9.

- Rich
301-837-2019

>>> Mary Haynes <Mary.Haynes@nrc.gov> 4/18/2008 4:00 PM >>>
Hi Rich,

Thanks for working on locating the GRS for PKI records for me. Also, I know and have copies of two of the approved schedules--N1-352-02-1 and N1-361-05-2--on PKI records; however, if NARA has approved others on PKI, please fax them to me at (301) 415-6434.

Lastly, I wanted you to know that 5 of the 9 draft schedules, that you received previously, have been finalized and will be sent to you shortly.

Mary
(301) 415-6625



UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

Rec'd
5/2/08
JNB

April 29, 2008

Lawrence Brewer
Director, Life Cycle Management Division
National Archives at College Park
8601 Adelphi Road
NWML, Room 2100
College Park, MD 20740

Subject: SF-115 for NRC Subject and Case Files

Dear Mr. Brewer:

Attached are seven SF-115s for registration and approval by NARA.

Please forward the NARA Job Numbers to me when they have been assigned. Please contact Deborah Armentrout at (301) 415-7228 if you need additional information.

Sincerely,

N1-431-08-2 thw -8

A handwritten signature in cursive script that reads "Margaret A. Janney".

Margaret A. Janney, CRM/NS
Chief, Records and FOIA/Privacy Services Branch
Office of Information Services

Cc: Jay Blewett
Deborah Armentrout
Tracy Clark

From: Richard Noble
To: Armentrout, Deborah
Date: 4/30/2008 10:05:18 AM
Subject: Re: FW: Engineering & Scientific support Master Files (DoI)

April 30, 2008

Debbie,

Job N1-115-08-3 is being handled by our Denver Region, so I'll check with them about providing you a copy of the SF115. I am assuming that you are requesting this SF115 merely for information rather than to comment on it. If the latter were the case, we'd have to handle your request more formally, i.e., with a letter from a NWML supervisor transmitting the SF115 to you and tracking whether you send comments, etc. If I'm incorrect that you want the SF115 merely for informational purposes, please let me know. But, assuming I don't hear from, I'll coordinate with our Denver Region about getting you a copy through the informal process.

Also, I'll look forward to receiving the NRC schedules from Margie.

- Rich
301-837-2019

>>> Deborah Armentrout <Deborah.Armentrout@nrc.gov> 4/29/2008 3:53 PM >>>

Hi Rich,

Please see the note below from Jay. Can you get us a copy of the DOI schedule? (If you need to fax it to us - the number is 301-415-6434)

BTW - there are several schedules coming your way as soon as Margie signs the cover letter to Lawrence.

Thanks,
Debbie

From: Jay Blewett
Sent: Monday, April 28, 2008 8:36 AM
To: Deborah Armentrout
Cc: Tracy Clark
Subject: Engineering & Scientific support Master Files (DoI)

Debbie,

I saw in the Federal Register that NARA has a DoI schedule described as "Master files providing specialized engineering and scientific support to the Bureau of Reclamation's Technical Service Center. [N1-115-08-3]" If you can get a copy, I would like to review it as it sounds a lot like the Analytical Computer Program schedule. Jay

Jay Blewett
301-415-6859
T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

CC: Blewett, Jay; Clark, Tracy

From: Richard Noble
To: Armentrout, Deborah; Blewett, Jay
Date: 4/30/2008 10:36:11 AM
Subject: RE: FW: Engineering & Scientific Support Master Files (DoI)

4/30/08

Jay and Debbie,

Mark Ferguson of our Denver office just emailed me that he'll send the SF115 to Debbie this morning. So you should be all set on this one.

- Rich Noble
NARA
301-837-2019

>>> Jay Blewett <Jay.Blewett@nrc.gov> 4/30/2008 10:16 AM >>>

Rich,

Thanks. I was just looking for the SF-115 for informational purposes. DoI might have thought of something or have an approach that would improve the schedule that I drafted for NRC. I will let Debbie reply relative to her needs for the schedule.

Jay

Jay Blewett
301-415-6859
T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

-----Original Message-----

From: Richard Noble [mailto:richard.noble@nara.gov]
Sent: Wednesday, April 30, 2008 10:05 AM
To: Deborah Armentrout
Cc: Jay Blewett; Tracy Clark
Subject: Re: FW: Engineering & Scientific support Master Files (DoI)

April 30, 2008

Debbie,

Job N1-115-08-3 is being handled by our Denver Region, so I'll check with them about providing you a copy of the SF115. I am assuming that you are requesting this SF115 merely for information rather than to comment on it. If the latter were the case, we'd have to handle your request more formally, i.e., with a letter from a NWML supervisor transmitting the SF115 to you and tracking whether you send comments, etc. If I'm incorrect that you want the SF115 merely for informational purposes, please let me know. But, assuming I don't hear from, I'll coordinate with our Denver Region about getting you a copy through the informal process.

Also, I'll look forward to receiving the NRC schedules from Margie.

- Rich
301-837-2019

>>> Deborah Armentrout <Deborah.Armentrout@nrc.gov> 4/29/2008 3:53 PM
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Please see the note below from Jay. Can you get us a copy of the DOI schedule? (If you need to fax it to us - the number is 301-415-6434)

BTW - there are several schedules coming your way as soon as Margie signs the cover letter to Lawrence.

Thanks,
Debbie

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Jay Blewett
301-415-6859
T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

CC: Clark, Tracy

From: Jay Blewett <Jay.Blewett@nrc.gov>
To: Richard Noble <richard.noble@nara.gov>
Date: 4/30/2008 10:59:18 AM
Subject: RE: FW: Engineering & Scientific Support Master Files (DoI)

Thanks. Isn't e-mail useful! Jay

Jay Blewett
301-415-6859
T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

-----Original Message-----

From: Richard Noble [mailto:richard.noble@nara.gov]
Sent: Wednesday, April 30, 2008 10:36 AM
To: Deborah Armentrout; Jay Blewett
Cc: Tracy Clark
Subject: RE: FW: Engineering & Scientific Support Master Files (DoI)

4/30/08

Jay and Debbie,

Mark Ferguson of our Denver office just emailed me that he'll send the SF115 to Debbie this morning. So you should be all set on this one.

- Rich Noble
NARA
301-837-2019

From: Richard Noble
To: Haynes, Mary
Date: 5/5/2008 2:18:07 PM
Subject: Reminder

5/5/08

Mary,

This is the promised reminder for you to bring to RACO, if you can, an extra copy of the NRC disposition manual for me.

Thanks, and see you then.

- Rich

>>> Mary Haynes <Mary.Haynes@nrc.gov> 4/4/2008 3:01 PM >>>

Hi Rich,

I will be attending RACO. I will make a point of taking these items--including the NRC Directive 3.53, "NRC Records and Document Management Program," if you need it. I'll write myself a reminder so that I don't forget. I don't mind if you remind me either.

-----Original Message-----

From: Richard Noble [<mailto:richard.noble@nara.gov>]

Sent: Friday, April 04, 2008 2:59 PM

To: Mary Haynes

Subject: Second thought

4/4/08

Mary,

On second thought, I think I would like to take you up on your offer to bring the NRC disposition manual to RACO for me, assuming that you'll be going to RACO. (But if I do end up visiting NRC before RACO, I'll get it from you then.)

Thanks. I'm sure we'll be in contact about NRC RM issues over the coming weeks.

- Rich

From: Richard Noble
To: Armentrout, Deborah
Date: 5/7/2008 12:01:27 PM
Subject: RE: FSME presentation

5/7/08

Debbie,

Have you been able to set a date for the presentation by me and John Powell to FSME? (See my suggested dates further below.)

Thanks.

- Rich
301-837-2019

>>> Deborah Armentrout <Deborah.Armentrout@nrc.gov> 4/23/2008 5:19 PM >>>
yes - that is it

-----Original Message-----

From: Richard Noble [<mailto:richard.noble@nara.gov>]
Sent: Wednesday, April 23, 2008 2:09 PM
To: Deborah Armentrout
Subject: FSME presentation

4/23/08

Debbie,

Regarding my below email, I think I have figured out the name of the office that has requested the presentation: Office of Federal and State Materials and Environmental Management Programs (FSME). If that's the right office, I can find out its functions from the NRC website.

- Rich

>>> Richard Noble 4/23/2008 11:27 AM >>>
April 23, 2008

Debbie,

John Powell and I are available the following dates to give the presentation you requested for the NRC office (FISNY?): May 7, May 28, June 2, June 4, June 6, or June 13.

I understand that the presentation will cover why permanent records should be transferred to the National Archives and how the National Archives preserves and makes available its holdings of permanent electronic records.

Could you let me know which of the above dates are acceptable to you and the NRC office? Also, could you give me a little background on that office (e.g., its title and functions)?

As we discussed, on the same day as the presentation, I'd like to review some of the NSIR subject and case files covered by job N1-431-08-1.

Thanks.

- Rich
301-837-2019

From: Richard Noble
To: Margie.Janney@nrc.gov
Date: 5/9/2008 3:00:37 PM
Subject: Monthly status report of SF115s

May 9, 2008

Margie,

Attached is NARA's monthly status report of registered NRC SF115s for April 2008. (The seven SF115s that you submitted recently will appear on the May report.)

- Rich Noble
NARA
301-837-2019

CC: deborah.amentrout@nrc.gov

April 2008

Job No.	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-431-08-1	NSIR subject and case records	1/16/2008	Richard Noble	Deborah Armentrout	4/23/2008	Agency contacted for appraisal visit appointment.	

From: Richard Noble
To: Bartlett, Jeffrey
Date: 5/12/2008 9:20:52 AM
Subject: RE: Preservation plans

5/12/08

Jeff,

Thanks (belatedly) for your below email. I just wanted to tell you that I never got a response to my two emails to my NARA preservation staff contact on whether NARA has produced a preservation plan for its holdings. I would assume that the non-response indicates that NARA hasn't produced such a plan.

- Rich Noble
NARA
301-837-2019

>>> Jeffrey Bartlett <Jeffrey.Bartlett@nrc.gov> 4/17/2008 12:58 PM >>>

Thanks Rich,

I appreciate the help. I will look over the material on these links. I have been researching for months and have looked at lots of historical preservation plans, but they don't seem to be what we are looking for from a federal records perspective. However, maybe those you have provided are different.

Let me know if you ever hear from your preservation staff.

Thanks for your help!!!

Jeff

-----Original Message-----

From: Richard Noble [<mailto:richard.noble@nara.gov>]
Sent: Thursday, April 17, 2008 10:05 AM
To: Jeffrey Bartlett
Subject: Preservation plans

4/16/08

Jeff,

I haven't gotten a response to my request from my NARA preservation staff contact on whether NARA has produced a preservation plan that I could send you. Sometimes it takes over a week for this contact to respond. I checked the NARA website and didn't see any such plan there. I'll follow up next week to see if I can get a response from my contact.

In the meantime, I wanted to give you some other information I've found out.

First, I've attached the "NW Preservation Risk and Needs Assessment" form and instructions which the NARA preservation staff developed for NARA holdings maintenance activity. It is not a plan, of course, but it does show the types of physical preservation problems that NARA tracks for its holdings.

Second, I found on the web a number of very broad historical records preservation plans (covering a State or the entire country). Even though these are of a different scope than yours, I thought they might still be useful as a partial model for yours.

Below is the website for the report: "PRESERVING OUR DIGITAL

HERITAGE: Plan for the National Digital Information Infrastructure and Preservation Program". (This is a national digital preservation plan for the Library of Congress's National Digital Information Infrastructure and Preservation Program.)

<http://www.digitalpreservation.gov/library/reports.html>

Below are some State Historical Records Advisory Board historical records preservation plans. (The SHRABS are part of NARA's National Historical Publications and Records Commission's system for assisting with preservation of historical records nationwide.) The New York plan (third one below) seems the most thorough.

<http://www.lva.lib.va.us/whoweare/boards/shrab.htm>

<http://www.kdla.ky.gov/organizations/shrab/strategicplan.htm>

http://www.nyshrab.org/strategicplan/s_strategicplan.shtml

<http://www.state.sc.us/scdah/shrab/infogathsum.htm>

<http://www.newjersey.gov/state/darm/links/shrab.html>

- Rich Noble
NARA
301-837-2019

>>> Jeffrey Bartlett <Jeffrey.Bartlett@nrc.gov> 4/10/2008 2:20 PM >>>

Rich,

I have been tasked with writing a statement of work for our contractor to develop a Long-Term Preservation Plan for the Nuclear Regulatory Commission. I have researched extensively on the web and records management related sites and I have found practically nothing on developing a plan. I thought that NARA might be a good place to look.

I know that you probably have developed a plan for the entire Federal Government that includes ERA etc. Have you developed a preservation plan specific to NARA and NARA's collections of records? Please let me know if I can get a copy of your plan to use as a starting point for developing ours.

Thanks for your help!

Jeff Bartlett
Senior Records Analyst
U.S. Nuclear Regulatory Commission
301-415-0243

MAY 15 2008

Ms. Margaret A. Janney, CRM/NS
Chief, Records and FOIA/Privacy Services Branch
Office of Information Services
Nuclear Regulatory Commission
Washington, DC 20555-0001

Dear Ms. Janney:

In December 2005, NARA promulgated Bulletin 2006-02, NARA Guidance for Implementing Section 207(e) of the E-Government Act, which contains specific guidance and milestones for agencies to identify and schedule their electronic records, and to transfer to NARA electronic records that have a permanent retention. NARA records management staff have been working closely with your agency to provide guidance and technical assistance to assist you in meeting the Bulletin's requirements. On March 6, NARA issued Bulletin 2008-03 that reminds agencies of these scheduling requirements and provides recommended approaches for meeting them by the September 30, 2009 deadline.

With your assistance, the National Records Management Program at NARA is committed to advancing the goals of the E-records project. So that we can better support your needs for scheduling and transferring records to NARA, I am requesting the following information that will help both of our agencies plan and prioritize the substantial amount of work that still needs to be completed by September 2009.

For Fiscal Year 2008 only, please provide the following information by June 30:

- For scheduling of electronic records, please provide a list to your appraisal archivist, Rich Noble, richard.noble@nara.gov, of the mission-related electronic records systems or series that you have identified for schedule submission to NARA in fiscal year 2008. Please include the name and brief description of the series or system, and when you expect to submit it to NARA for review. If you have any questions about this request, please contact Rich at 301-837-2019 for any additional information you might need.
- For transfers of permanent records to NARA, the staff in the Electronic and Special Media Records Services Division have identified some series that are eligible for transfer to NARA in Fiscal Year 2008. Please review the attached list and confirm that these records will in fact be transferred in FY 2008, and if appropriate, include any other series of electronic records that will be transferred this fiscal year. Please respond to John Powell at

John.Powell@nara.gov with this information, or if you have any questions concerning the transfer of these records.

It is my firm belief that the above referenced bulletins on this subject, as well as the information you provide, will help both of our agencies move forward in achieving compliance with the Federal E-Government Act records scheduling and transfer requirements. If you have any general questions on the goals of the E-records project, please do not hesitate to contact me at: <paul.wester@nara.gov>.

Sincerely,

PAUL M. WESTER, JR.
Director
Modern Records Programs

Official file – NWML
Reading file – NWML
NWME
NWM
Noble

Sg/05/14/08

Job	Item	Item Title	System
N1-431-89-006	1-c	Personnel Monitoring Report Files	Personnel Monitoring Report Files

From: Richard Noble
To: Blewett, Jay
Date: 5/20/2008 11:22:35 AM
Subject: RE: Questions on N1-431-08-1

Jay, Thanks very much. I appreciate your letting me know that my email reached you. - Rich Noble

>>> Jay Blewett <Jay.Blewett@nrc.gov> 5/20/2008 10:45 AM >>>

Rich,

Just letting you know the e-mail system worked. I think I know the answers, but will confirm them with the Program office. I will get back to you. Jay

Jay Blewett
301-415-6859
T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

-----Original Message-----

From: Richard Noble [<mailto:richard.noble@nara.gov>]
Sent: Tuesday, May 20, 2008 10:26 AM
To: Deborah Armentrout
Cc: Jay Blewett
Subject: Questions on N1-431-08-1

5/20/08

Debbie,

Since I'll visit NRC soon (probably June 2) to review some NSIR subject and case records for job N1-431-08-1, I'd like to ask a few questions about the job now. This way, you (and/or Jay) either could answer my questions by email or simply discuss them with me when I make my visit. I've copied Jay on this email.

Questions:

A: Item 1 (Site-Specific Security and Safeguards Case Files)

1: In NUREG-0910, Rev. 4, there are two items for NSIR Emergency Planning Files: item 2.20.2a (case files) and 2.20.2b (reports of operation tests). N1-431-08-1, item 1 (Site-Specific Security and Safeguards Case Files), appears to replace items 2.20.2a and 2.20.2b in NUREG-0910, Rev. 4. However, N1-431-08-1 omits the reports of operation tests covered by item 2.20.2b. Can you explain the reason for this omission? (For example, are these reports not being produced by NSIR, and all the previous reports (if any) already have been transferred to the National Archives? Or are these reports being included in the case files? If this latter is true, it seems as though these reports should be mentioned in the description of item 1 in N1-431-08-1.)

2: NUREG-0910, Rev. 4, includes Emergency Planning Files of NRC Regional Offices, under items 2.25.5a and 2.25.5b. Since N1-431-08-1 is changing the description and transfer period for these files at NSIR,

should the same changes be made to the files held by the Regional Offices under items 2.25.5a and 2.25.5b in NUREG-0910, Rev. 4? If so, would NRC be submitting, at some time in the future, an SF115 with a revision for these Regional files?

3: Page 4 ("Background") of the SF115 indicates that selected NSIR case records may be declared as significant based on content. Several criteria for significance are then listed. Can you explain the purpose of declaring certain case records as significant? For example, is the purpose to identify those permanent Site-Specific Security and Safeguards Case files (item 1) that will be retained by NRC longer than the specified 15 year retention period prior to transfer to the National Archives (per the Note at the bottom of page 2 of the SF115)?

B: Item 2 (Security and Safeguards Subject Files)

1: For items 2a - 2c (Security and Safety Subject Files), the cutoff periods (in the dispositions) seem to apply to individual documents rather than to a file (folder). For example, for items 2b and 2c, the wording is: "Cut off at the end of the Calendar Year in which the document is dated." This wording clearly seems to apply the cut-off to an individual document rather than to a file (folder). For item 2a, the wording is: "Cut off at the end of the Calendar Year 5 years after the action is taken." This wording seems also to apply to an individual document, although I suppose that if all the documents in a file related to the same action, then this wording could apply to an entire file.

Is it NRC's intent that the cut-off periods be applied to individual documents rather than to files (folders)? That seems unusual to me, but I think it might be acceptable (particularly for electronic records in an RMA). However, if the cut-off periods are intended to apply to files (folders), I'm not clear how they could be so applied under the proposed wording (especially for items 2b and 2c).

Thanks very much for your consideration of these questions.

Rich Noble
National Archives and Records Administration
301-837-2019

From: Richard Noble
To: Margie.Janney@nrc.gov
Date: 5/20/2008 1:34:14 PM
Subject: Job numbers for SF115s

5/20/08
Margie,

FYI: Below are the NARA-assigned job numbers for five of the seven SF115s that you submitted to NARA on April 29, 2008:

N1-431-08-2: General Licensing Tracking System (GLTS)
N1-431-08-3: National Sealed Source and Device Registry (NSSDR)
N1-431-08-4: Decommissioning Radioactive Material Sites and Terminating Licenses (CSTS and TLTS)
N1-431-08-5: Industry Trends Program (ITP)
N1-431-08-6: National Source Tracking System (NSTS)

The other two SF115s you submitted on April 29 have not had a job number assigned to them yet. I'll let you know as soon as find out the number for them. These two SF115s are:

Reciprocity Tracking System (RTS)
Waste Disposal Tracking System (WDTS)

- Rich Noble
NARA
301-837-2019

CC: Deborah.Armentrout@nrc.gov

From: Richard Noble
To: Blewett, Jay
Date: 5/21/2008 11:47:35 AM
Subject: Thanks

Jay, Thanks very much. - Rich

>>> Jay Blewett <Jay.Blewett@nrc.gov> 5/21/2008 11:40 AM >>>

Rich,

I will add this to the questions for your visit and will try to have the response ready also. jay

Jay Blewett
301-415-6859
T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

-----Original Message-----

From: Richard Noble [<mailto:richard.noble@nara.gov>]
Sent: Wednesday, May 21, 2008 11:16 AM
To: Deborah Armentrout; Jay Blewett
Subject: Additional question on N1-431-08-1

5/21/08

Debbie, Jay,

With your indulgence, I wanted to ask another question relating to job N1-431-08-1 (NSIR subject and case records).

I noticed that NUREG-0910, Rev. 4, includes item 2.20.6 (Security Policy Files of NSIR). The files covered by this item seem similar to the files covered by proposed item 2a in N1-431-08-1. Could you explain the difference between these two items? To help me better understand the difference, would it be possible for me to review some of the records covered by item 2.20.6 when I visit NSIR?

Thanks for your assistance with this additional question.

- Rich Noble
National Archives and Records Administration
301-837-2019

From: Richard Noble
To: Haynes, Mary
Date: 5/28/2008 11:48:37 AM
Subject: Thanks

OK. Thanks. - R.

>>> Mary Haynes <Mary.Haynes@nrc.gov> 5/28/2008 11:44 AM >>>

Hi Rich,

I have this schedule already. Ours is much more detailed so I think I'll just plod along. Thanks anyway.

-----Original Message-----

From: Richard Noble [<mailto:richard.noble@nara.gov>]

Sent: Wednesday, May 28, 2008 11:41 AM

To: Mary Haynes

Subject: Re: collaborative tools

5/28/08

Mary,

I can fax you a brief schedule, covering records generated by collaborative systems, which I faxed Debbie last November. The schedule is N1-51-04-1 (Executive Office of the President).

Can you tell me your fax #?

- Rich

>>> Mary Haynes <Mary.Haynes@nrc.gov> 5/28/2008 11:24 AM >>>

Hi Rich,

Do you know whether any agencies has scheduled collaborative tools for yet?

Mary
(301) 415-6625

From: Richard Noble
To: Clark, Tracy
Date: 5/29/2008 9:46:10 AM
Subject: RE: FSME presentation

Tracy, Thanks very much. That resolves the time-sensitive issue in my below email. I appreciate the quick answer. - Rich

>>> Tracy Clark <Tracy.Clark@nrc.gov> 5/29/2008 9:32 AM >>>
Hi Rich,

John can email his info. to me to add to the system, and also Paula's if she decides to come too. Thanks!

Tracy

-----Original Message-----

From: Richard Noble [<mailto:richard.noble@nara.gov>]
Sent: Thursday, May 29, 2008 9:30 AM
To: Deborah Armentrout
Cc: John Powell; David Pinckney; Jay Blewett; Tracy Clark
Subject: RE: FSME presentation
Importance: High

**** High Priority ****

5/29/08

Debbie,

Thanks for your below email. Your email clarifies the purpose of the 3:00 meeting with FSME on Monday.

As I mentioned previously, I'd like John Powell to accompany me to the 3:00 FSME meeting (but not to my session with NSIR), so that he can explain to FSME how NARA cares for and makes available its electronic records holdings. Since John would be driving to NRC, to whom would he email his vehicle information and his personal information so that he can get access to the NRC parking area? Also, he might want to bring with him one of his colleagues at NWME * Paula Larich. Would it be okay if Paula came also? (It's not definite that she would come * John needs to check with her first.)

One last point, John and I think that it would be helpful if Margie could attend the FSME meeting (in addition to yourself and others from your staff, of course), to help emphasize to FSME the importance of FSME's following the appropriate records management regulations and procedures, particularly in regard to permanent records. Would it be possible for Margie to attend?

I am leaving work around 3:45 p.m. today, and I'm on leave tomorrow. So I'd like to settle, before I leave today, the arrangements for John and/or Paula to come to NRC.

Also, I don't think I've seen the draft NMED schedule, but I can see it on Monday.

Thanks very much.

- Rich
301-837-2019

>>> Deborah Armentrout <Deborah.Armentrout@nrc.gov> 5/29/2008 7:22 AM >>>
Rich - We were finally able to confirm that FSME is going to meet with us. The primary purpose of the

discussion will be to explain the process of sending permanent electronic records to NARA and how they are still available to the public. Also they will probably ask what the benefit is vs. us keeping them ourselves. In addition we will talk about the NMED schedule. I am not sure if Jay sent this draft to you, but we will make sure that you have it in hand on Monday.

I will be here today until 3:00 if you need to talk or verify anything.

-----Original Message-----

From: Richard Noble [mailto:richard.noble@nara.gov]

Sent: Tuesday, May 27, 2008 11:32 AM

To: Deborah Armentrout

Cc: Richard Noble; Jay Blewett

Subject: FSME presentation?

Importance: High

**** High Priority ****

May 27, 2008

Debbie,

I talked to Jay about his below email of May 23, and he wasn't sure whether you wanted the hour-long session with FSME (at 3:00 p.m. on June 2) to be the presentation which you requested earlier of me and John Powell (see attached email of April 23). As per the attached email, the presentation was to cover why permanent records should be transferred to the National Archives and how the National Archives preserves and makes available its holdings of permanent electronic records.

I'd appreciate it if you could let me know this by tomorrow, so that I can confirm it to John. (I'll be on leave Friday, May 30.)

Thanks in advance for your response, and I'll see you at 8:00 a.m. on June 2.

- Rich Noble
301-837-2019

>>> Jay Blewett <Jay.Blewett@nrc.gov> 5/23/2008 10:50 AM >>>

Rich,

I have you booked for 8:00 through 2:00 with NSIR, and from 3:00 to 4:00 with FSME. [That is 5 hours plus an hour for lunch/break with NSIR, and an hour to recover and prepare for FSME.] Hope that is acceptable --> if not let me know please and I can make the adjustments.

I have worked with NSIR to gather answers to your questions and will send what I have to you on Tuesday after Debbie and Tracy have had a chance to look at them. FSME is working on an agenda for their portion of the day, which I hope to have available on Tuesday also.

And I won't be at work on Wednesday through Friday, either. Jay

Tracy,

Do we need to do something with security to pre-authorize Rich to be in the offices? Jay

Jay Blewett
301-415-6859

T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

-----Original Message-----

From: Richard Noble [<mailto:richard.noble@nara.gov>]
Sent: Friday, May 23, 2008 10:41 AM
To: Jay Blewett
Cc: Deborah Armentrout; Tracy Clark
Subject: Time of visit on June 2

5/23/08

Jay,

I wanted to tell you that I will be on leave Friday, May 30, and I probably will leave work two hours early on Thursday, May 29. So it would be good if you could confirm by the middle of next week the time for my visit to NSIR on Monday, June 2. Thanks very much.

- Rich Noble
NARA
301-837-2019

>>> Jay Blewett <Jay.Blewett@nrc.gov> 5/16/2008 11:14 AM >>>

Rich,

It looks like June 2 will be the selected day. We are planning to be working on the NSIR records during the morning and early afternoon, and meeting with one of the Offices (FSME) for an hour in the afternoon. Consider this a heads-up since we don't have confirmation from all of the appropriate staff as yet, but have enough to believe that Monday June 2 will be the date. Jay

Jay Blewett
301-415-6859
T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

-----Original Message-----

From: Richard Noble [<mailto:richard.noble@nara.gov>]
Sent: Monday, May 12, 2008 9:44 AM
To: Jay Blewett; Tracy Clark
Cc: Deborah Armentrout
Subject: RE: Request to review NSIR subject and case files

5/12/08

Jay, Tracy:

Thanks for yours below. I'll look forward to hearing from you on a date that would be good for you. By the way, I've added May 20 to the list of acceptable dates (below) for me.

Updated list of acceptable dates for me:

Thurs.- Friday, May 15-16
Mon. * Fri., May 19 - 23
Tues.-Wed. May 27-28
Mon.-Fri., June 2-6
Mon.-Fri., June 9-13
Mon.-Wed., June 16 - 18
Tues. - Fri., June 24-27

- Rich Noble
301-837-2019

>>> Jay Blewett <Jay.Blewett@nrc.gov> 5/9/2008 7:18 AM >>>
I'm on travel that day. Not great for me. Roya is looking at what day would be good for her also. Jay

Jay Blewett
301-415-6859
T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

-----Original Message-----

From: Tracy Clark
Sent: Thursday, May 08, 2008 5:44 PM
To: 'Richard Noble'; Jay Blewett
Cc: Deborah Armentrout
Subject: RE: Request to review NSIR subject and case files

5/28 looks like a great day for me!

-----Original Message-----

From: Richard Noble [<mailto:richard.noble@nara.gov>]
Sent: Thursday, May 08, 2008 3:16 PM
To: Jay Blewett; Tracy Clark
Cc: Deborah Armentrout
Subject: Request to review NSIR subject and case files

May 8, 2008

Tracy, Jay:

Debbie told me today that I could follow up with you on my request to review some of the NSIR subject and case files, for pending job N1-431-08-1. My below email of 3/11/08 to Debbie is still relevant, except for the proposed dates for the review. The following is an update of the dates I'd be available for this review:

Thurs.- Friday, May 15-16
Monday, May 19
Wed. - Fri., May 21-23
Tues.-Wed. May 27-28
Mon.-Fri., June 2-6
Mon.-Fri., June 9-13
Mon.-Wed., June 16 - 18

Tues. - Fri., June 24-27

(I have a security clearance up through SCI, including a Q clearance.)

Thanks for your help with this request.

- Rich Noble
NARA
301-837-2019

>>> Richard Noble 3/11/2008 3:25 PM >>>
3/11/08
Debbie,

This email concerns my review of pending job N1-431-08-1 covering NSIR Subject and Case Records.

I would like to review some representative records for the four items covered by this job:

Item 1: Site-Specific Security and Safeguards Case Files

Items 2a - 2c: Security and Safeguards Subjects Files.

Of these items, I'm particularly interested in records for the two proposed permanent items -- 1 and 2a. Also, I'm interested in the subject content of the records rather than the media or format, so I could review electronic or paper copies, or both.

I realize that these four items are updates of previously approved items, and that ordinarily NARA would not need to review records for such items. However, I would like to review these records because (a) the original authorities for the paper copies date from the early 1980's (jobs NC1-431-81-1 and NC1-431-81-5) and I don't think that NARA's review of the relevant ADAMS schedules (N1-431-00-3 and N1-431-03-1) involved any review of the records, and (b) the records descriptions proposed in N1-431-08-1 are somewhat different from (although similar to) the descriptions in the current items.

I'd like to do review the records on any of the below dates. I think the review would take no more than five hours. (I assume that the records would be located at NRC headquarters.)

Friday, March 14
Monday, March 17
Wednesday-Thursday, March 19-20
Tuesday - Friday, March 25-28
Monday, March 31
Wednesday - Friday, April 2 - 4
Monday, April 7.

Could you suggest a time for this on one of these dates?

Thanks very much

- Rich
301-837-2019

CC: Blewett, Jay; Deborah.Armentrout@nrc.gov; Pinckney, David; Powell, John

From: Richard Noble
To: Deborah.Armentrout@nrc.gov; Jay.Blewett@nrc.gov; Tracy.Clark@nrc.gov
Date: 5/29/2008 3:33:25 PM
Subject: See you on June 2

5/29/08

Jay, Debbie, and Tracy,

I just wanted to confirm that I'll be at NRC at 8:00 a.m. on Monday, June 2, for the visit to NSIR (followed by the visit to FSME at 3:00 p.m.).

I'll see you then. I'll be out of the office for the rest of today and for tomorrow.

- Rich Noble
NARA

From: Richard Noble
To: Blewett, Jay
Date: 6/4/2008 1:07:44 PM
Subject: RE: NSIR Meeting Notes

Jay, Yes, my second email today was my notes on Monday's meeting. In the next few days, I plan to email you my additional questions about N1-431-08-1, per my below email. - Rich

>>> Jay Blewett <Jay.Blewett@nrc.gov> 6/4/2008 12:33 PM >>>
okay. I got a later e-mail from you that I assumew is the notes. Jay

From: Richard Noble [richard.noble@nara.gov]
Sent: Wednesday, June 04, 2008 9:21 AM
To: Jay Blewett
Cc: Deborah Armentrout; Tracy Clark
Subject: Re: NSIR Meeting Notes

6/4/08

Jay,

Thanks for your below email about the NSIR SF115. After looking at my meeting notes and the file plan Roya gave me on Monday, I realize that I probably will have some additional questions I'd like to raise about the SF115. It will take me a few days to gather my thoughts on this matter and get back to you with these questions.

In the meantime, if you wanted start revising the SF115 based on the Monday meeting, that would be fine.

Later this morning, I'll plan to email you my notes on our NSIR meeting, in case they would be helpful to you.

I apologize for the additional work and delay I may be generating for you with my likely additional questions, but I think I need to give this schedule a bit more consideration before giving it my okay.

Thanks very much, and I'll be in touch.

- Rich Noble
NARA
301-837-2019

>>> Jay Blewett <Jay.Blewett@nrc.gov> 6/3/2008 4:13 PM >>>

Rich,

I hope yesterday was productive for you and the other NARA staff. I thought both meetings went as well, as I expected they would.

I would like to begin to modify the NSIR Subject & Case file SF-115, and can do that from my notes. But if yours are available, I can make sure we have the same notes and I can make the changes just one time. If you can send them, I would appreciate that. Thanks.

Jay

Jay Blewett
301-415-6859
T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

From: Richard Noble
To: Armentrout, Deborah
Date: 6/4/2008 3:38:44 PM
Subject: Re: can you find out for me?

6/4/08
Debbie,

I asked Susan Cummings your below question, and she didn't know of any information kept by NARA about the number of Records Officers who also are Privacy Officer, FOIA Officer, and/or Information Collections Officer. Generally, Susan would be aware of this point, since she is familiar with our surveys of Records Officers. NWML's customer satisfaction surveys of 2006 and 2007 didn't ask this question of the Records Officers surveyed.

I did find the below DOJ websites that list the FOIA Officers and contacts in the Federal government. Skimming the list, I found that the names didn't seem the same as the Records Officers I'm familiar with

Chief FOIA Officers:
<http://www.usdoj.gov/oip/chieffoiaofficers.html>

Principal FOIA contacts at Federal agencies:
<http://www.usdoj.gov/oip/foiacontacts.htm>

I myself am not aware of any Records Officers that also have these other titles/duties. I don't think the Air Force Records Officer has these duties, for example.

I appreciated the help from you and the other NRC staff on Monday. As I mentioned to Jay, I will probably send him some additional questions about that schedule soon.

- Rich

>>> Deborah Armentrout <Deborah.Armentrout@nrc.gov> 6/4/2008 1:25 PM >>>

Rich - Do you know if NARA is aware of how many Records Officers also carry the duty and title of Privacy Officer, FOIA Officer, and/or Information Collections Officer?

If you know of any yourself, we are looking to find some that have these responsibilities as separate. Regulatory would be ideal.

Thanks,
Debbie

(And thanks for your help on Monday. There are a few more schedules coming your way!)

From: Richard Noble
To: Blewett, Jay
Date: 6/5/2008 2:04:00 PM
Subject: RE: Follow-up on NSIR records appraisal

Thanks, Jay. I figured that Option 1 probably would not be good. I appreciate your help. - R.

>>> Jay Blewett <Jay.Blewett@nrc.gov> 6/5/2008 1:54 PM >>>

Rich,

I will, of course, wait for Debbie's lead on the additional review request. You have to do what you need to do, to characterize these records appropriately.

I believe your "Option 1 - Review e-SAFE" will not be a viable one since the system was just made operational and there are currently few (perhaps no) records in the system. I am sure that either of the other two options are doable, but I think #2 would be the less intrusive. A listing of the types of records of interest will assist Roya and Donna in gathering examples for review. I'm sure Debbie will let me know!

Jay

Jay Blewett
301-415-6859
T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

-----Original Message-----

From: Richard Noble [mailto:richard.noble@nara.gov]
Sent: Thursday, June 05, 2008 1:47 PM
To: Jay Blewett
Subject: RE: Followup on NSIR records appraisal

Thanks, Jay. As mentioned, I'll plan to talk to Debbie soon about my latest request regarding this schedule. Thanks again for your work on the schedule. - Rich

>>> Jay Blewett <Jay.Blewett@nrc.gov> 6/5/2008 1:37 PM >>>

Rich,

You had stated below "Jay: I would suggest that you postpone any revisions to the SF115 until we resolve my request for this additional review."

My response is "Too late." I wanted to capture those thoughts while I still remembered the details. I still have an electronic copy of the older version though. [:->) Jay

Jay Blewett
301-415-6859
T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

-----Original Message-----

From: Richard Noble [mailto:richard.noble@nara.gov]
Sent: Thursday, June 05, 2008 1:30 PM
To: Deborah Armentrout; Jay Blewett
Cc: Tracy Clark
Subject: Followup on NSIR records appraisal

6/5/08

Debbie and Jay,

This email raises a followup issue about N1-431-08-1, as per my emails of yesterday. (Contrary to my emails of yesterday, however, I'm not raising questions here but instead just making one (large) request.)

Specifically, I now believe that I need to spend another day (a full day) at NSIR to look at a much wider variety of the records covered by the case files and subject files in N1-431-08-1. I came to this conclusion yesterday, when I realized that the file plan (which Roya gave me) contains a large number of folders (for both the case files and subject files) covering fairly diverse topics. Judging from the titles, some of the folders seem to cover temporary records and others to cover permanent records. Therefore, I would like to review representative records from a variety of these folders. Following my review, we might decide it makes sense to revise N1-431-08-1 to break down the records as temporary vs. permanent based on the folders (i.e., rather than the SF115's approach of making all of the case files permanent and having three categories of the subject files).

I'll state the above point a different way. Based on the file plan, items 1 and 2 seem almost like big bucket items in a flexible schedule.

A big bucket schedule is fine, but I think this makes it appropriate for me to review a greater number and a wider variety of the records that I did last Monday.

It was my fault for not doing a much more thorough review of records when I visited on Monday. Note that, for my additional review, I would not need to review representative records from every folder. If you agree to this additional review, I could specify the folders for which I'd like to review records.

Given that NSIR seems to have no central file of paper records, it appears that there could be three methods for me to do this additional review at NSIR. First, I could be given access to E-Safe and view electronic records in folders (conforming to the file plan) in E-Safe. (However, this method may not be workable, because I believe that Roya said that the E-Safe records currently are not maintained in these folders.) Second, I could sit in a room or a cubicle, and your staff

or

NSIR staff could bring me paper files (from NSIR staff members' desks) falling under the different folders. Third, I could go to several

NSIR

staff members' desks to review the paper records. However, if we took this last approach, I'd ask that the NSIR staff member not be present during my review and that I be given a fairly sizeable amount of

time at each desk (e.g., up to several hours, based on the quantity of records and how many other desks I'd be visiting that day). In particular, I feel that having the NSIR staff member present during my review would make it difficult for me to spend enough time on the review, because I'd feel I'd be interrupting the staff member's work.

I'm sorry to make this additional request of you, but I think it's necessary for me to appraise these records properly. I suggest that we

talk soon by phone about the practicality of this request. I'll plan to call Debbie in the next day or so about this request.

Jay: I would suggest that you postpone any revisions to the SF115 until we resolve my request for this additional review.

Thanks very much.

- Rich Noble
NARA
301-837-2019

From: Richard Noble
To: Margie.Janney@nrc.gov
Date: 6/6/2008 11:01:05 AM
Subject: Monthly status report of SF115s

June 6, 2008

Margie,

Attached is NARA's monthly status report of registered NRC SF115s for May 2008.

- Rich Noble
NARA
301-837-2019

CC: Deborah.Armentrout@nrc.gov

May 2008

Job No.	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-431-08-1	NSIR subject and case records	1/23/2008	Richard Noble	Deborah Armentrout	5/23/2008	Appraisal meeting set for June 2.	
N1-431-08-2	General Licensing Tracking System	5/8/2008	Richard Noble	Deborah Armentrout	5/23/2008	Ongoing appraisal work being conducted.	
N1-431-08-3	National Sealed Source and Device Registry	5/8/2008	Richard Noble	Deborah Armentrout	5/23/2008	Ongoing appraisal work being conducted.	
N1-431-08-4	Decommissioning Radioactive Material Sites and Terminating Licences (CSTS and TLTS)	5/8/2008	Richard Noble	Deborah Armentrout	5/23/2008	Ongoing appraisal work being conducted.	
N1-431-08-5	Industry Trends Program	5/8/2008	Richard Noble	Deborah Armentrout	5/23/2008	Ongoing appraisal work being conducted.	
N1-431-08-6	National Source Tracking System	5/8/2008	Richard Noble	Deborah Armentrout	5/22/2008	Ongoing appraisal work being conducted.	
N1-431-08-7	Waste Disposal Tracking System	5/30/2008	Joseph Suster	Deborah Armentrout	5/30/2008	Registered.	
N1-431-08-8	Reciprocity Tracking System	5/30/2008	James Hurst	Deborah Armentrout	5/30/2008	Registered.	



UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

*Rec'd
6/10/08
LWJ*

June 6, 2008

Lawrence Brewer
Director, Life Cycle Management Division
National Archives at College Park
8601 Adelphi Road
NWML, Room 2100
College Park, MD 20740

Subject: SF-115 for NRC Subject and Case Files

Dear Mr. Brewer:

Attached are three SF-115s for registration and approval by NARA.

Please forward the NARA Job Numbers to me when they have been assigned. Please contact Deborah Armentrout at (301) 415-7228 if you need additional information.

Sincerely,

(N1-431-08-9, -10, -11)

A handwritten signature in cursive script that reads "Margaret A. Janney".

Margaret A. Janney, CRM/NS
Chief, Records and FOIA/Privacy Services Branch
Office of Information Services

Cc: Jay Blewett
Deborah Armentrout
Tracy Clark

From: Richard Noble
To: Blewett, Jay
Date: 6/6/2008 11:19:40 AM
Subject: Thanks

Thanks, Jay. That's good news. - Rich

>>> Jay Blewett <Jay.Blewett@nrc.gov> 6/6/2008 11:15 AM >>>
Thank you.

The three will have been through the NRC concurrence reviews and be sent as "final" to NARA. Sorry I wasn't clear.

Have a great weekend. Jay

Jay Blewett
301-415-6859
T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

-----Original Message-----

From: Richard Noble [<mailto:richard.noble@nara.gov>]
Sent: Friday, June 06, 2008 11:09 AM
To: Jay Blewett
Subject: Re: NARA Job Numbers and a Heads-up

6/6/08

Jay, the job numbers are:

WDTS: N1-431-08-7
RTS: N1-431-08-8

Regarding the three new schedules, do you mean that they will be sent to NARA, in final, next week? Or that they are being routed for internal approval within NRC next week? Thanks for any clarification of this.

- Rich

>>> Jay Blewett <Jay.Blewett@nrc.gov> 6/6/2008 10:45 AM >>>

Rich,

Do you have the job numbers for WDTS and RTS? I'm trying to stay current with my statistics.

And there is a transmittal with three new schedules being prepared that should be sent early next week. Thanks Jay

Jay Blewett
301-415-6859
T5 F49

Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

From: Richard Noble
To: Clark, Tracy
Date: 6/12/2008 10:02:09 AM
Subject: ASAP records

6/12/08
Tracy,

The FMS system, Automated Standard Application for Payment (ASAP), has not been scheduled, and FMS has not submitted any schedule for it. As I understand this issue, even if ASAP were scheduled, NRC would still need to schedule those ASAP records retained by NRC. Of course, since the important ASAP records are kept by FMC, NRC's retained ASAP records can probably be given a short-term retention.

Moreover, since ASAP is not scheduled, NRC may not apply to its ASAP records those GRS 20 items which require that the relevant database be scheduled (e.g., GRS 20, item 2, inputs). But NRC may apply to its ASAP records those GRS 20 items which don't require that the relevant database be scheduled (such as GRS 20, item 16, ad hoc printouts).

I hope this helps answer your question.

- Rich
301-837-2019

>>> Tracy Clark <Tracy.Clark@nrc.gov> 6/10/2008 12:54 PM >>>

I'm looking at a Privacy Impact Assessment for the Automate Standard Application for Payment (ASAP) System. This system is operated by the Federal Reserve Bank of Richmond as the agent for the Dept. of Treasury's Financial Mgmt. Service and is an e-Gov system. Can you tell me if it has been scheduled already for Treasury and if our records would merely be administrative in nature?

Thanks,
Tracy

CC: Armentrout, Deborah

From: Richard Noble
To: Blewett, Jay
Date: 6/13/2008 10:41:28 AM
Subject: RE: Information for June 25 visit

6/13/08

Thanks, Jay. I'll plan on arriving between 8:00 and 8:30 a.m. on June 25. - Rich

>>> Jay Blewett <Jay.Blewett@nrc.gov> 6/13/2008 10:32 AM >>>
Rich,
Got it and will forward to NSIR.

The list looks pretty extensive and I think it will take the full day to do your reviews. I would propose you start first thing in the morning on the 25th (8:00 to 8:30 anyway). If this changes, I will let you know by the 24th. Jay

Jay Blewett
301-415-6859
T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

-----Original Message-----
From: Richard Noble [<mailto:richard.noble@nara.gov>]
Sent: Friday, June 13, 2008 10:24 AM
To: Jay Blewett
Cc: Deborah Armentrout
Subject: Information for June 25 visit

6/13/08

Jay, The attachment to this email provides you with additional information relating to my upcoming review on June 25 of NSIR case and subject files for job N1-431-08-1. The attachment contains:

A: My comments and questions for Roya or other NSIR staff.
B: The file plan Roya gave me, in which I've identified (with bold face) the folders I want to review.

Also, can you let me know what time I should arrive on June 25?
(I'll be on leave June 20 and 23.)

Thanks very much.

- Rich Noble
National Archives and Records Administration
301-837-2019

CC: Armentrout, Deborah; Clark, Tracy; Noory, Roya

From: Richard Noble
To: Haynes, Mary
Date: 6/19/2008 3:51:04 PM
Subject: Re: embossed stamp

6/19/08

Mary,

I would think that notarized PKI certificates would simply be another type of PKI trustworthiness record, which would be covered by the NRC's PKI records schedule. In particular, I know that "public key certificates" are considered a "transaction-specific" PKI record.

I'm not familiar with the specific meaning of "notarization" of certificates.

- Rich

>>> Mary Haynes <Mary.Haynes@nrc.gov> 6/17/2008 5:37 PM >>>

Hi Rich,

We have notarized PKI certificates (complete with the embossed stamp). Does NARA have guidance for these records?

Mary L. Haynes
Records Management Analyst
U.S. Nuclear Regulatory Commission
Rockville, MD 20852
(301) 415-6625

From: Richard Noble
To: Blewett, Jay
Date: 6/24/2008 10:00:13 AM
Subject: Re: Two New Schedules

6/24/08

Jay, Thanks. I'll look forward to receiving them.

I'll see you tomorrow between 8:15 and 8:30 a.m. for my NSIR visit.

- Rich
301-837-2019

>>> Jay Blewett <Jay.Blewett@nrc.gov> 6/20/2008 1:09 PM >>>

Rich,

I know you are out of the office today, but thought you would like to know that 2 additional schedules are in the mail to NARA this morning. These are:

- * Materials Licensing (LTS, LEDIS and WBS)
- * Research Information Management System (RIMS)

Jay

Jay Blewett
301-415-6859
T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

CC: Clark, Tracy

From: Tracy Clark <Tracy.Clark@nrc.gov>
To: Richard Noble <richard.noble@nara.gov>
Date: 6/26/2008 3:58:29 PM
Subject: RE: FAIMIS

No problem, thanks for looking into it.

-----Original Message-----

From: Richard Noble [mailto:richard.noble@nara.gov]
Sent: Thursday, June 26, 2008 3:15 PM
To: Tracy Clark
Cc: Jay Blewett
Subject: Re: FAIMIS

6/26/08

Tracy,

I checked with the NARA appraiser for Department of Interior (DOI), and she told me that DOI has not scheduled FAIMIS and has not submitted an SF115 for FAIMIS. She also wasn't aware of any plans by DOI to submit an SF115 for FAIMIS.

So I think you're in the same situation as for ASAP * you need to schedule any NRC records relating to FAIMIS, and you can't use the GRS 20 items [like item 2a(4)] that require the system itself to be scheduled.

Sorry I can't give a more positive response.

- Rich

>>> Tracy Clark <Tracy.Clark@nrc.gov> 6/25/2008 7:44 AM >>>
Hi Rich,

Can you tell me if NARA has received an SF115 for the Financial Accounting and Integrated Management Information System, which is hosted by Dept. of the Interior, Nat'l. Business Center? I have to determine whether or not NRC needs to schedule the records in this system or not. Any info. you can provide will be helpful. Thanks!

Tracy

CC: Jay Blewett <Jay.Blewett@nrc.gov>

From: John Powell
To: Armentrout, Deborah
Date: 6/30/2008 4:52:34 PM
Subject: Re: response to May 15, 2008 ltr from Paul Wester

Debbie,

Thanks,

John

>>> Deborah Armentrout <Deborah.Armentrout@nrc.gov> 6/30/2008 4:27 PM >>>

John, Per the letter from Paul Wester asking that we provide you with information about the transfer of permanent electronic records to NARA, we are still unable to determine how to transfer the REIRS data because of the privacy information. We have been working with new security staff to see if they can help us make progress in this regard. Please expect to hear from us in the near future for a proposed approach on how we will transfer the data. Regards, Debbie

CC: Noble, Richard

From: Richard Noble
To: Janney, Margie
Date: 7/3/2008 2:22:46 PM
Subject: Thanks

7/3/08

Thanks, Margie. I'll communicate with Russ Nichols from now on. – Rich Noble

>>> Margie Janney <Margie.Janney@nrc.gov> 7/2/2008 5:37 PM >>>
Thank you, Rich.

I am now the Information and Records Services Deputy Director. Russ Nichols is now the Records and FOIA/Privacy Services Branch Chief. Please address correspondence to him at Russell.Nichols@nrc.gov.

Thank you,
-Margie

-----Original Message-----

From: Richard Noble [<mailto:richard.noble@nara.gov>]
Sent: Thursday, June 26, 2008 5:18 PM
To: Margie Janney
Cc: Deborah Armentrout
Subject: Job #'s N1-431-08-9, -10, -11

6/26/08
Margie,

FYI: Below are the NARA-assigned job numbers for the three SF115s that you submitted to NARA on June 6, 2008:

N1-431-08-9: Strategic Workforce Planning; SES Succession Planning System (SWP; SESSPS)
N1-431-08-10: MD-715 database
N1-431-08-11: Emergency Response Data System (ERDS)

- Rich Noble
NARA
301-837-2019

From: Richard Noble
To: russell.nichols@nrc.gov
Date: 7/3/2008 3:56:34 PM
Subject: Monthly status report of SF115s

July 3, 2008

Mr. Nichols,

Attached is NARA's monthly status report of registered NRC SF115s for June 2008. Note that the SF115 for Research Information Management System (RIMS), received by NARA June 25, 2008, has not been registered by NARA yet and so will not appear until the July status report.

- Rich Noble
NARA
301-837-2019

CC: deborah.armentrout@nrc.gov

June 2008

Job No.	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/ Last Action	Date Closed
N1-431-08-1	NSIR subject and case records	1/23/2008	Richard Noble	Deborah Armentrout	6/25/2008	Appraisal meeting held.	
N1-431-08-2	General Licensing Tracking System	5/8/2008	Richard Noble	Deborah Armentrout	6/6/2008	Ongoing appraisal work being conducted.	
N1-431-08-3	National Sealed Source and Device Registry	5/8/2008	Richard Noble	Deborah Armentrout	6/9/2008	Ongoing appraisal work being conducted.	
N1-431-08-4	Decommissioning Radioactive Material Sites and Terminating Licences (CSTS and TLTS)	5/8/2008	Richard Noble	Deborah Armentrout	6/9/2008	Ongoing appraisal work being conducted.	
N1-431-08-5	Industry Trends Program	5/8/2008	Richard Noble	Deborah Armentrout	6/10/2008	Ongoing appraisal work being conducted.	
N1-431-08-6	National Source Tracking System	5/8/2008	Richard Noble	Deborah Armentrout	6/9/2008	Ongoing appraisal work being conducted.	
N1-431-08-7	Waste Disposal Tracking System	5/30/2008	Joseph Suster	Deborah Armentrout	6/26/2008	Ongoing appraisal work being conducted.	
N1-431-08-8	Reciprocity Tracking System	5/30/2008	James Hurst	Deborah Armentrout	6/26/2008	Ongoing appraisal work being conducted.	
N1-431-08-9	Strategic Workforce Planning (SWP) and SES Succession Planning System (SESSPS)	6/12/2008	Richard Noble	Deborah Armentrout	6/12/2008	Registered.	
N1-431-08-10	MD-715 Database	6/12/2008	Richard Noble	Deborah Armentrout	6/12/2008	Registered.	
N1-431-08-11	Emergency Response Data System	6/12/2008	Richard Noble	Deborah Armentrout	6/12/2008	Registered.	
N1-431-08-12	License Tracking System (LTS) and Web-Based Licensing (WBL)	6/30/2008	Richard Noble	Deborah Armentrout	6/30/2008	Registered.	

From: Richard Noble
To: Nichols, Russell
Date: 7/9/2008 10:03:46 AM
Subject: RE: Monthly status report of SF115s

7/9/08

Russ, Thanks. I'll provide the below information to our web person, to update the NARA website list of Records Officers.

Rich

>>> Russell Nichols <Russell.Nichols@nrc.gov> 7/8/2008 7:33 AM >>>
Rich,

I apologize. I thought Debbie responded on the NRC Records Officer email in my absence last week.

Please change the phone number to (301) 415-7230.

I'll get with Debbie and we'll set up a meeting with you.

Looking forward to meeting you.

Russ

-----Original Message-----

From: Richard Noble [<mailto:richard.noble@nara.gov>]
Sent: Monday, July 07, 2008 5:03 PM
To: Russell Nichols
Cc: Deborah Armentrout
Subject: RE: Monthly status report of SF115s

July 7, 2008

Russ,

That sounds good. Let me know when you'd like to meet.

On a separate issue, I don't think you ever responded to my email asking to confirm your contact information (as NRC Records Officer) to post on the NARA website. Below is the information which I tentatively would like to use (based partly on what Margie Janney's information was):

Russell Nichols
Nuclear Regulatory Commission
Mail Stop T5F53
Washington, DC 20555
301-415-6874

Thanks.

- Rich Noble
NARA
301-837-2019

>>> Russell Nichols <Russell.Nichols@nrc.gov> 7/7/2008 2:45 PM >>>
Thanks, Rich.

As soon as we can arrange a mutual time, I'd like to meet you and introduce myself and get to know you and how our roles connect.

Russ



UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

Rec'd
7-29-08
JMD

July 23, 2008

Laurence Brewer
Director, Life Cycle Management Division
National Archives at College Park
8601 Adelphi Road
NWML, Room 2100
College Park, MD 20740

Subject: SF-115s for NRC Electronic Information Systems

Dear Mr. Brewer:

Attached are three SF-115s for registration and approval by NARA.

- Power Reactor Operating Experience Program (ITP, ROE and HFIS)
- Rational Suite of Tools (Rational and NSICD)
- Regional Licensee Information Tracking Systems (PITA and FFITS)

Please forward the NARA Job Numbers to me when they have been assigned. Please contact Deborah Armentrout at (301) 415-7228 if you need additional information.

Sincerely,

Russell A. Nichols

Russell A. Nichols
Chief, Records and FOIA/Privacy Services Branch
Office of Information Services

cc: Jay Blewett
Deborah Armentrout
Tracy Clark

From: Jay Blewett <Jay.Blewett@nrc.gov>
To: Richard Noble <richard.noble@nara.gov>
Date: 7/23/2008 10:02:00 AM
Subject: RE: Three New Schedules

You're welcome. Wouldn't want you to get bored. [;>) Jay

Jay Blewett
301-415-6859
T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

-----Original Message-----

From: Richard Noble [mailto:richard.noble@nara.gov]
Sent: Wednesday, July 23, 2008 10:00 AM
To: Jay Blewett
Cc: Deborah Armentrout; Tracy Clark
Subject: Re: Three New Schedules

Jay, Thanks. I'll look forward to receiving them. - Rich

>>> Jay Blewett <Jay.Blewett@nrc.gov> 7/23/2008 9:48 AM >>>
Rich,

I am writing to give you a heads-up that we will be mailing three new SF-115s today. They are for:

- * Rational Suite of Tools
- * Power Reactor Operating Experience Programs, and
- * Regional Licensee Information Tracking Systems

There are still 10 that are in approval routing.
Jay

Jay Blewett
301-415-6859
T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

From: Mary Haynes <Mary.Haynes@nrc.gov>
To: Richard Noble <richard.noble@nara.gov>
Date: 7/23/2008 10:25:08 AM
Subject: RE: parking receipts

Rich,
Thanks.

-----Original Message-----

From: Richard Noble [mailto:richard.noble@nara.gov]
Sent: Wednesday, July 23, 2008 9:49 AM
To: Mary Haynes
Subject: Re: parking receipts

7/23/08
Mary,

As I read GRS 6, item 1: if the receipts are the original or ribbon copy maintained for audit, then you'd use item 1a, as you suggest. If the receipts are reference copies ("memorandum copies"), then you'd use item 1b.

So I think the choice of 1a vs. 1b depends on whether or not the receipts are originals and the purpose for which they are kept (i.e., for audit or as "memorandum copies").

As always, I find the GRS more complicated than it first appears.

- Rich

>>> Mary Haynes <Mary.Haynes@nrc.gov> 7/22/2008 5:35 PM >>>
Hi Rich,
We received a request concerning the disposition authority for copies of parking receipts. I think that we can use GRS 6/1a. Do you agree?

Mary L. Haynes
U.S. Nuclear Regulatory Commission
(301) 415-6625

From: Richard Noble
To: Blewett, Jay
Date: 7/24/2008 2:58:57 PM
Subject: Thanks

7/24/08

Jay, Thanks very much. - Rich

>>> Jay Blewett <Jay.Blewett@nrc.gov> 7/24/2008 1:55 PM >>>

Rich,

The phrase "data entry aids" has been in the schedule since the initial draft, however, I can find nothing in my memory, in the file, or on the web, that would indicate the exact meaning of the phrase. I will go to the program office to see if they can confirm what they might be, although my definition would have been similar to the template definition you stated below. [This is especially confusing to me because I would ordinarily not use that expression in a schedule, without a push from the SME.] Pfui!

I will have to get back to you on this. Jay

Jay Blewett
301-415-6859
T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

-----Original Message-----

From: Richard Noble [<mailto:richard.noble@nara.gov>]
Sent: Thursday, July 24, 2008 9:31 AM
To: Jay Blewett
Cc: Deborah Armentrout
Subject: Inputs for SWP and SESSPS

7/24/08

Jay,

This is a question about N1-431-08-9 (SWP and SESSPS).

The inputs for SWP and SESSPS are covered by items A.1. and B.1., respectively. Since these two items indicate that the inputs are not paper, I would assume that the inputs would be electronic. The dispositions call for destruction of "data entry aids" when no longer needed for data entry. What are "data entry aids"? For example, are they templates to assist in electronic data entry? Are these data entry aids in paper or electronic format?

One reason I'm asking is that NARA generally matches up the inputs on an agency SF115, with GRS 20 -- either item 2a(4), 2b, or 2c, depending partly on the media of the input.

(I hope to be able to send job N1-431-08-9 for signature by the Archivist in about ten days.)

Thanks for any clarification of this issue you can provide

- Rich
301-837-2019

From: Tracy Clark <Tracy.Clark@nrc.gov>
To: Richard Noble <richard.noble@nara.gov>
Date: 7/28/2008 9:27:39 AM
Subject: RE: I referred Joanne Nichols to you

No problem - thanks!

-----Original Message-----

From: Richard Noble [mailto:richard.noble@nara.gov]
Sent: Monday, July 28, 2008 9:19 AM
To: Tracy Clark
Cc: Deborah Armentrout
Subject: I referred Joanne Nichols to you

Monday, 7/28/08

Tracy,

I just wanted to let you know that I told Joanne Nichols by telephone on Friday that she could contact you as an additional source of information for her below inquiry. I apologize for not letting you know this on Friday.

- Rich

>>> Joanne Nichols <Joanne.Nichols@nrc.gov> 7/25/2008 2:44 PM >>>
Thank you for taking the time to respond to my request.

Joanne

-----Original Message-----

From: Richard Noble [mailto:richard.noble@nara.gov]
Sent: Friday, July 25, 2008 11:28 AM
To: Joanne Nichols
Cc: Deborah Armentrout
Subject: Re: RETIRED EMPLOYEE'S OPF'S

7/25/08

Joanne,

The disposition of Official Personnel Folders is covered by General Records Schedule 1, item 1. In particular, item 1b covers the folders for separated employees. Disposition of personnel performance appraisal records is covered by GRS 1, item 23.

The General Records Schedules are available on the NARA website at: <http://www.archives.gov/records-mgmt/ardor/records-schedules.html>

For information on retiring the OPFs to the National Personnel Records Center - Civilian Records, you could call 314-801-9250 or email cpr.center@nara.gov The NARA website with information about a Federal Agency contacting the NPRC, Civilian Records, is:

<http://www.archives.gov/st-louis/civilian-personnel/>

I'd also suggest that you contact Deborah Armentrout, Records Manager in NRC headquarters, for assistance with your inquiry. Her contact information is:

Deborah Armentrout
301-415-7228
deborah.armentrout@nrc.gov

- Rich Noble
National Archives and Records Administration
301-837-2019

>>> Joanne Nichols <Joanne.Nichols@nrc.gov> 7/25/2008 8:15 AM >>>
Good Morning Richard,

Would you please direct me in the process of what to do with retired employees OPF'S and appraisal records?

Thanks,

Joanne Nichols
HR Assistant
610-337-5247
610-337-5180 (fax)

From: Jay Blewett <Jay.Blewett@nrc.gov>
To: Richard Noble <richard.noble@nara.gov>
Date: 7/29/2008 1:33:40 PM
Subject: RE: Dispositions for inputs in four of the SF115s

Rich,
We received the message below and will be working on a response.

However for NSTS, you should know that the system is a web based system with on-line data entry by the licensees and NRC/State employees. There are no independent submittals either electronically or on paper. The same will be true for WBL, but it isn't fully operational yet. Thus there is no document that can be entered into ADAMS. As the other systems are updated, I suspect that on-line data entry will increasingly become a part of the systems and that will further reduce ADAMS involvement in the processing of the input documents. We wanted to provide flexibility in the schedule to prevent having to rewrite them as the capabilities of the information systems are modernized.

Rational probably will not be treated like this, but the other two should be similar. Jay

Jay Blewett
301-415-6859
T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

-----Original Message-----

From: Richard Noble [mailto:richard.noble@nara.gov]
Sent: Tuesday, July 29, 2008 10:12 AM
To: Deborah Armentrout
Cc: Jay Blewett
Subject: Dispositions for inputs in four of the SF115s

7/29/08
Debbie,

This email concerns the dispositions for inputs for four of the SF115s submitted by NRC over the past few months. Specifically, these dispositions provide only an instruction rather than a true disposition. The relevant SF115s and items are:

- 1: N1-431-08-2 (GLTS), items 1a. and 1b.
- 2: N1-431-08-3 (NSSDRS), item 1.
- 3: N1-431-08-6 (NSTS), item 1.
- 4: N1-431-08-12 (LTS and WBL), item 1.

Can you tell me what is NRC's intention in regard to the disposition of these inputs? And could you suggest some wording for each item that would include a true disposition? My own suggestions are as follows:

For schedules 1, 2, and 4 above, the stated disposition indicates that the inputs are to be transferred for entry into ADAMS (or other approved recordkeeping system). For these inputs, I'd suggest adding the

following sentence at the end of the disposition statement, to provide a true disposition: "Destroy according to the disposition for the records in ADAMS (or other approved recordkeeping system)."

For schedule 3 above, the stated disposition doesn't mention the transfer to ADAMS or other recordkeeping system. For this input, I suggest adding a sentence like this at the end of the disposition: "Destroy when no longer needed for legal, audit, verification, or backup purposes."

I realize that I asked Jay about this same issue back in February, in regard to three of the draft schedules (NSSDRS, TAPIS, and Rational Suite). But my Work Group Leader raised the issue with me recently, so I would like to get your and/or Jay's response on it now.

I also realize that this issue may arise for some of the schedules that NRC submitted last week and will submit in the future. So it would be helpful to resolve this now if possible.

Thanks for your consideration of this.

- Rich
301-837-2019

CC: Tracy Clark <Tracy.Clark@nrc.gov>

From: Richard Noble
To: Blewett, Jay
Date: 7/29/2008 3:49:58 PM
Subject: RE: Power Reactor Operating Experience SF115

7/29/08

Jay,

Thanks for your below email and for discussing it with me by phone just now.

As we discussed, I'll now register the Power Reactor Operating Experience SF115 with the below-referenced ITP items crossed-off (as being covered by the ITP SF115, N1-431-08-5), with one exception. The exception is that I won't cross off the LERs and ENs in item 1a of the Power Reactor Operating Experience SF115, because the LERs and ENs are used as inputs both for the Reactor Operating Events (ROE) Master File as well as for the ITP. Also, as we discussed, I'll change the proposed disposition for the ENs in N1-431-08-5 to Permanent, for consistency with the disposition in the Power Reactor Operating Experience SF115.

As we also discussed, I'll look forward to hearing any comments from Debbie on this issue when she returns to the office.

Thanks for your help with this.

- Rich
301-837-2019

>>> Jay Blewett <Jay.Blewett@nrc.gov> 7/29/2008 1:20 PM >>>

Rich,

These three programs (ITP, ROE and HFIS) discuss reviews conducted by NRR and NRO to gather operating experience data with the intent to evaluate the state of the industry and to provide guidance to both the licensees and the NRC staff about lessons that are learned. Each of the programs has, however, a separate emphasis that makes them a little bit different from the others. The function is the same, just with different details. That happens a lot in the schedules due to the wide scope of Office responsibilities and the evolution of the regulatory processes. [see NSTS and NSSDRS, as well as DDMS, EHD and LSN for additional examples of systems with some overlapping functions.]

You are correct that the Power Reactor Op Experience schedule is duplicated in part by the ITP Schedule. Similar to what happened at NARA, the ITP schedule went through its initial reviews before the interviews for ROE and HFIS were conducted. I included ITP in the Power Rx Op Exp schedule as it will ultimately be included with the ROE and HFIS as we rewrite so that the common inputs to all these reviews could be scheduled consistently. Unfortunately as you noted, somewhere during the reviews for Power Rx Op Experience schedule the retention for the Event Notifications was modified, and the corresponding change to ITP was not made. The second retention (Permanent) is now the correct one for both schedules.

Your approach to retain the separation of ITP from the other systems is a good way to continue the reviews. We can put these back together functionally when both schedules have been approved. However, please be careful when crossing through the LERs and ENs out of one or the other of the schedules because they can also be used as inputs in the other schedule.

Hope this makes sense. Jay

Jay Blewett
301-415-6859

T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

-----Original Message-----

From: Richard Noble [mailto:richard.noble@nara.gov]
Sent: Tuesday, July 29, 2008 12:22 PM
To: Deborah Armentrout
Cc: Jay Blewett
Subject: Power Reactor Operating Experience SF115

7/29/08

Debbie,

We received from Russ Nichols today the three below-mentioned SF115s. Thanks.

I have the following concern about the SF115 for the Power Reactor Operating Experience. This SF115 contains the items for the Industry Trends Program (ITP) that are included in pending job N1-431-08-5. The relevant items in the Power Reactor Operating Experience SF115 are :

1(a): Inputs: Official Notifications of Events * in particular, LERs and ENs

1(c)1: Inputs: INPO Reports, Monthly Operating Reports

1(c)2: Inputs: INPO Reports, Operational Radiation Exposure Report

3(a)1a: Outputs: ITP Quarterly submittals

3(a)1b: Outputs: Annual Report

3(a)2: Outputs: EDO Report to NRC Commissioners

3(a)3: Outputs: NUREG 1542 Series

4(a): ITP Documentation: Inspection Manual 0313.

The above items in the Power Reactor Operating Experience SF115 seem to be identical to items in N1-431-08-5, with the exception that the disposition for the ENs (Event Notifications) in the Power Reactor Operating Experience SF115 is permanent and the disposition for the ENs in N1-431-08-5 is temporary.

Since N1-431-08-5 (covering the ITP) has already undergone the SHU (internal NARA review) process, I'd like to keep N1-431-08-5 as a valid job and cross off the duplicative (ITP) items in the Power Reactor Operating Experience SF115. We then could resolve any discrepancies in regard to the ITP items between what is in the N1-431-08-5 and what is in the Power Reactor Operating Experience SF115.

Please let me know if you any objection to my taking this approach. I'll wait to register the Power Reactor Operating Experience SF115 until I've heard back from you on this.

Thanks very much.

- Rich
301-837-2019

>>> Jay Blewett <Jay.Blewett@nrc.gov> 7/23/2008 9:48 AM >>>
Rich,

I am writing to give you a heads-up that we will be mailing three new SF-115s today. They are for:

- * Rational Suite of Tools
- * Power Reactor Operating Experience Programs, and
- * Regional Licensee Information Tracking Systems

There are still 10 that are in approval routing.

Jay

Jay Blewett
301-415-6859
T5 F49
Millican & Associates, Inc
Supporting NRC/OIS/RFPSB/RASS

CC: Clark, Tracy; Deborah.Armentrout@nrc.gov