

alt 1/18/00

Agency

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA) use only	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	N1-434-99-3
1. FROM (Agency or establishment) Department of Energy		DATE RECEIVED	3-5-99
2. MAJOR SUBDIVISION Pittsburg Naval Reactors Office		NOTIFICATION TO AGENCY In accordance with the previous provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION Betis Atomic Power Laboratory			
4. NAME OF PERSON WITH WHOM TO CONFER Pat Mannion	5. TELEPHONE 412-476-7266	DATE	ARCHIVIST OF THE UNITED STATES 8-30-00 [Signature]

6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>11</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.		
DATE 2/10/99	SIGNATURE OF AGENCY REPRESENTATIVE [Signature]	TITLE Departmental Records Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See attached.		

Pittsburgh Naval Reactors Office

1. ~~Permanent Research and Development (R&D) Records~~

These records are maintained in centralized files for laboratory-wide access and consist of technically and administratively significant records related to the research, design, and development of naval nuclear propulsion plants, the support of testing, operation, overhaul, and maintenance of fleet and prototype naval nuclear propulsion plants and the design, testing, and evaluation of naval nuclear propulsion plant components and systems.

Since 1949, Bettis has maintained technically and administratively significant external (distributed to other Naval Nuclear Propulsion Program elements) reports, documents, and correspondence and all drawings in centralized master files for use laboratory wide by individuals with need-to-know. Internal (distribution limited to within Bettis Atomic Power Laboratory) documents, reports, and correspondence, sensitive information, test and raw data, less significant information, and other research and development (R&D) records have been maintained in decentralized files by each originating Activity or work group. Starting in 1994, Bettis will implement the Automated Document/Drawing Storage and Retrieval System (ADSARS) which will serve as a centralized index and retrieval mechanism for virtually all R&D records in all media. ADSARS will incorporate and expand the existing master files. The following schedules encompass the records retention needs for the historical master files, the new ADSARS system and R&D records which have not been included in the master files or will not be included in the ADSARS system. It should be noted that when a new record is indexed in ADSARS, the originator of the record will be required to evaluate the record based on the criteria identified in this schedule and determine the retention period.

*Apply DOE Schedule NT-434-96-9
Level 1*

- a. Permanent Research and Development Master File and ADSARS Records meet one or more of the following criteria:

show the development of or relate to new or significant methodology, materials, designs, or techniques;
relate to critical environmental, health, or safety issues;
were the subject of Congressional investigation or came under intensive public scrutiny; or
result in judicial decisions, legislative activities, or significant changes in the functions or activities of the Naval Nuclear Propulsion Program

(1) Paper R&D permanent records

Medium: paper

Dates: 1949-ongoing

Volume: 5000 cu.ft. est.

Accumulation rate: 100 cu.ft./yr.

Arrangement: numerical or alpha/numerical

Highest classification: Confidential restricted data (CRD)

Permanent. Cut off files in 1 cubic foot increments. Transfer to site records center following verification of indexing data. Transfer to Federal Records Center (FRC) within five years of receipt at site records center. Transfer to the National Archives following closeout of final Government contract.

(2) Microform R&D permanent records

Medium: Microfilm, microfiche, computer output microfiche and microfilm, aperture cards

Dates: 1963-present

Volume: 100 cu.ft. est.

Accumulation: 5 cu.ft./yr. est.

Arrangement: numerical

Highest classification: CRD

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Level 1*

Permanent. If duplicates are available, store originals in climate controlled local area or in site records center as soon as possible after creation. If duplicates are not available, cut off files when no longer needed for frequent reference and transfer to site records center in 1 cu. ft. increments. Transfer to National Archives following closeout of final Government contract, unless shortage of climate-controlled space necessitates earlier transfer.

(3) Photographic R&D permanent records

Medium: photographic negatives

Dates: 1949-present

Volume: 100 cu.ft. est.

Accumulation rate: 3 cu.ft./yr.

Arrangement: numerical

Permanent. Cut off files in 1 cu. ft. increments every five years. Transfer to site records center. Transfer to FRC within 5 years of receipt in site

records center. Transfer to National Archives following closeout of final Government contract.

(4) Electronic R&D permanent records

Medium: electronic
Dates: 1970-present
Volume: 50 cu.ft.
Accumulation rate: 3 cu.ft./yr.
Arrangement: alpha/numeric

Permanent. Cut off at closeout of final Government contract unless storage space shortages warrant earlier cutoff. Transfer along with systems documentation to National Archives following closeout of final Government contract.

(5) Videotape R&D permanent records

Medium: videotape
Dates: 1980-present
Volume: 10 cu.ft.
Accumulation rate: less than 1 cu.ft./yr.
Arrangement: chronologically by subject

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Level 1*

Permanent. Cut off files when no longer needed for frequent reference and transfer to site records center in 1 cu.ft. increments. Transfer to the National Archives following closeout of final Government contract.

(6) Sound tape R&D permanent records

Medium: analog magnetic sound tapes
Dates: 1980-ongoing
Volume: 1000 tapes
Accumulation rate: 50 tapes/yr. est.
Arrangement: numerical

Permanent. Cut off files when no longer needed for frequent reference. Transfer to site records center for storage in climatically-controlled area. Transfer to National Archives following closeout of final Government contract.

b. Permanent R&D Incident Report Records

Incident reports describe unusual events and occurrences which occur on sites, ships, and prototypes and include causes and corrective actions. These reports relate to environmental, safety, and health issues.

Medium: Paper

Dates: 1970-present

Volume: 100 cu.ft.

Arrangement: numerical

Accumulation rate: 5 cu.ft./yr.

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Level 1

Permanent. Cut off files in 1 cu.ft. increments when no longer needed for frequent reference or following entry into optical imaging system and transfer to site records center. Transfer to FRC within 2 years of cutoff. Transfer to National Archives following closeout of final Government contract.

c. Finding Aids for Permanent R&D Records

Finding aids for the records described above are maintained in various media including paper, microform, and electronic and are maintained as described above for each media.

Permanent. Transfer to National Archives at the time of transfer of related records.

2. Temporary (Long-term) Research and Development Records

These records consist of technically and administratively significant reports, correspondence, data, drawings, test documentation, etc., related to the design, development, research, testing, evaluation, operation, and support of naval nuclear propulsion plants, prototypes, systems, and components. These records do not meet the criteria for permanent retention identified above. At a minimum, these records must be maintained for the life of the ship, prototype, component, or system and often have continuing research value beyond the life of equipment but do not warrant permanent retention.

a. ADSARS R&D Temporary (Long-term) Records

These records will be maintained in centralized files and indexed in ADSARS. The originator of the record will be required to evaluate the record to determine the appropriate retention period prior to entry into ADSARS. ADSARS supports optical disk imaging technology and records which are appropriate for storage in this media will be converted to images.

(1) Optical image R&D records

Original records converted to this medium will be disposed of following a quality control check of image. Record transportability will be assured prior to acquisition of new equipment or upgrading of existing equipment. Records will be transferred to new media within 2 years prior to the expiration of the proven lifetime of the media on which they are stored.

Destroy when 100 years old or less based on technical review. Review every 25 years to determine continuing need.

(2) Paper R&D temporary (long-term) records which are converted to the ADSARS imaging system

Destroy following quality control checks of optical disk image.

(3) Paper R&D temporary (long-term) records which are not converted to images

Cut off in 1 cu.ft. increments following verification of indexing data. Transfer to site records center. Transfer to FRC within 5 years of cutoff. Destroy when 100 years old or less based on technical review. Review every 25 years for continuing need.

(4) Microform R&D temporary (long-term) records

Destroy when 100 years old or less based on technical evaluation. Review every 25 years for continuing need.

(5) Photographic R&D temporary (long-term) records

Cut off files every three years and transfer to site records center. Transfer to FRC within 5 years of cutoff. Destroy when 100 years old or less based on technical review. Review every 25 years.

(6) Electronic R&D temporary (long-term) records

Destroy when 100 years old or less based on technical review. Review every 25 years.

(7) Videotape R&D temporary records

Destroy when 100 years old or less based on technical review. Review every 25 years.

(8) Sound tape R&D temporary (long-term) records

Destroy when 100 years old or less based on technical review. Review every 25 years.

b. R&D Temporary (Long-term) Records Not Maintained in Centralized Files (Activity Records)

Activities or work groups maintain decentralized files of R&D temporary records which are not, for various reasons, appropriate for storage in centralized files. Prior to 1994, these files contained many of the records identified in Item 2.a., above.

(1) Activity paper R&D temporary (long-term) records

Cut off files when no longer needed for frequent reference. Transfer to site records in 1 cu.ft. increments. Transfer to FRC within 5 years of cutoff. Destroy when 100 years old or less based on technical review. Review every 25 years for continuing need.

(2) Activity microform R&D temporary (long-term) records

Destroy when 100 years old or less based on technical evaluation. Review every 25 years for continuing need.

(3) Electronic R&D temporary (long-term) records

Destroy when 100 years old or less based on technical review. Review every 25 years.

(4) Videotape R&D temporary records

Destroy when 100 years old or less based on technical review. Review every 25 years.

c. Technical Work Record (TWR) Book Records

TWR books are serialized, controlled bound notebooks in which scientists and engineers document their technical work, calculations, raw data, sketches, and other information which form the basis for technical decisions, designs, conclusions, etc. Each section of the TWR which describes new work is reviewed by a peer and the supervisor. TWR books may contain patentable information. These books are frequently referenced in other documents and are needed for the research value of the information they contain. The Bettis Library assigns TWR books and tracks the location of all books throughout their lifetime. The Library conducts an annual

inventory of all active (not in storage) books.

Return TWR books to Bettis Library when no longer needed for frequent reference. Bettis Library will transfer to site records center in 1 cu.ft. increments following update of TWR database. Transfer to FRC within 1 year of cutoff. Destroy 200 years after cutoff or earlier based on technical review. Review every 50 years.

d. Finding aids for R&D Temporary (Long-term) Records

Finding aids for the records described above are maintained in various media including, paper, microform, and electronic and are maintained as described above.

Destroy when related records are destroyed.

3. Temporary (Shorter-term) Research and Development Records

These records consist of technical and administrative reports, correspondence, data, drawings, test documentation, etc., related to the design, development, research, testing, evaluation, operation, and support of naval nuclear propulsion plants, prototypes, systems, and components. These records have probable value to support ongoing work but do not warrant long-term or permanent retention as determined by technical evaluation at the time of records creation or transfer to records storage.

Apply DOE Schedule N1-434-96-9

a. ADSARS R&D Temporary (Shorter-term) Records *Level 2*

These records will be maintained in centralized files and indexed in ADSARS. The originator of the record will be required to evaluate the record to determine the appropriate retention period prior to entry into ADSARS. ADSARS supports optical disk imaging technology and records which are appropriate for storage in this media will be converted to images.

(1) Optical image R&D records

Original records converted to this medium will be disposed of following a quality control check of image. Record transportability will be assured prior to acquisition of new equipment or upgrading of existing equipment. Records will be transferred to new media within 2 years prior to the expiration of the proven lifetime of the media on which they are stored.

Destroy when 25 years old.

- (2) Paper R&D temporary (shorter-term) records which are converted to the ADSARS imaging system

Destroy following quality control checks of optical disk image.

- (3) Paper R&D temporary (shorter-term) records which are not converted to images

Cut off in 1 cu-ft- increments following verification of indexing data.
Transfer to site records center. Transfer to FRC within 5 years of cutoff.
Destroy when 25 years old.

- (4) Microform R&D temporary (shorter-term) records

Destroy when 25 years old.

*Apply DCE Schedule NI-434-96-9
Level 2*

- (5) Photographic R&D temporary (shorter-term) records

*Cut off files every three years and transfer to site records center. Transfer to FRC within 5 years of cutoff. Destroy when 25 years old.

- (6) Electronic R&D temporary (shorter-term) records

Destroy when 25 years old.

- (7) Videotape R&D temporary (shorter-term) records

Destroy when 25 years old.

- (8) Sound tape R&D temporary (shorter-term) records

Destroy when 25 years old.

b. R&D Temporary (Shorter-term) Records Not Maintained in Centralized Files
(Activity Records)

Activities or work groups maintain decentralized files of R&D temporary records which are not, for various reasons, appropriate for storage in centralized files. Prior to 1994, these files contained many of the records identified in Item 3.a. above.

(1) Activity paper R&D temporary (shorter-term) records

Review local files annually. Cut off files when no longer needed for frequent reference. Transfer to site records in 1 cu.ft. increments. Transfer to FRC within 5 years of cutoff. Destroy when 25 years old.

(2) Activity microform R&D temporary (shorter-term) records

Destroy when 25 years old.

(3) Electronic R&D temporary (shorter-term) records

Destroy when 25 years old.

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Level 2*

(4) Videotape R&D temporary (shorter-term) records

Destroy when 25 years old.

c. Finding aids for Temporary (Shorter-term) Records

Finding aids for the records described above are maintained in various media including, paper, microform, and electronic and are maintained as described above for each media.

Destroy when associated records are destroyed.

4. Temporary (Short-term) Research and Development Records

These records consist of R&D preliminary and raw data which are incorporated in Items 1, 2, or 3, above, test run log books, superseded drawing and other revisions, and administrative R&D internal reports and correspondence which have little or no research or support value and are not covered in other approved schedules of administrative documents. These records are maintained by the offices which create them and are not included in centralized, Laboratory-wide files.

a. Paper R&D temporary (short-term) records

*Apply DOE Schedule NI-434-96-9
Level 3*

Destroy when 5 years old or sooner if determined by technical review to be of no further research value.

b. Microform R&D temporary (short-term) records

Destroy when 5 years old or sooner if determined by technical review to have no further research value.

c. Electronic R&D temporary (short-term) records

Destroy when 5 years old or sooner if determined by technical review to be of no further research value.

d. Videotape R&D temporary (short-term) records

Destroy when 5 years old or sooner if determined by technical review to be of no further research value.

e. Finding aids for Temporary (Short-term) Records

Finding aids for the records described above are maintained in various media including paper, microform, and electronic and are maintained as described above for each media.

Destroy when associated records are destroyed.

Apply DOE Schedule
NI-434-96-9
Level 3

5. Policy, Procedure, and Operating Manuals

These records include policy, procedure, and operating manual case files, including the record sets of the manuals, all manual revisions and the case files which document the development of and changes to these manuals and their revisions. The manuals incorporate rules, regulations, directives, laws, policies, etc., of the U.S. Department of Energy, the U.S. Department of Defense, and other Federal, state and local government agencies and Westinghouse Electric Corporation.

Medium: paper

Dates: 1955-present

Volume: 25 cu.ft.

Accumulation rate: less than 1 cu.ft./yr.

Arrangement: chronological by subject

Apply DOE Schedule
NI-434-96-9
Level 1

Permanent. Cut off files when no longer needed for frequent reference. Transfer to site records center in 1 cu.ft. increments. Transfer to FRC within 5 years of receipt at site records center. Transfer to National Archives following closeout of final Government contract.

6. Nuclear Propulsion Program Spent and New Naval Reactor Core Completed Shipment Files

These are paper documents consisting of shipment planing paperwork, bills of lading, escort logs, radiological surveys, SNM transfer receipts, etc. They provide an historical record of completed shipments that document transit times, routes, compliance with U.S.

DOT regulations, and any significant events during shipment.

- a. Records documenting shipment of a new core

Destroy 10 years after last shipment.

- b. Records documenting shipment of a spent core.

Destroy 20 years after last shipment.

- 7. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.