REQUEST FOR RECORDS DISPOSITION AUTHORITY	LEAVE BLANK (NARA Use Only)

TO: NATIONAL ARCHIVES AND RECORDS ADMINISTRATION WASHINGTON, DC 20408	JOB NUMBER NI-431-08-20

1. FROM (Agency or establishment) U.S. Nuclear Regulatory Commission	DATE RECEIVED 9/12/08

2. MAJOR SUBDIVISION or PROGRAM Office of Nuclear Security and Incident Response (NSIR)	**NOTIFICATION TO AGENCY**
3. MINOR SUBDIVISION	In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

4. NAME OF PERSON WITH WHOM TO CONFER Deborah H. Armentrout, CRM	5. TELEPHONE 301-415-7228	DATE	ARCHIVIST OF THE UNITED STATES

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 6 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

☒ is not required; ☐ is attached; or ☐ has been requested.

DATE 9/4/08	SIGNATURE OF AGENCY REPRESENTATIVE ~~Russell Nichols~~ Deborah H. Armentrout, crm	TITLE NRC Records Officer

7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS or Superseded Job Citation	10. Action Taken (NARA Use Only)
	Title: **Operations Center Information Management System (OCIMS)**		
	Virginia A. Huth 08/25/08 Program PMDA Director Date		
	N. Sanchen 9/2/08 Office of General Counsel Date		

OPERATIONS CENTER INFORMATION MANAGEMENT SYSTEM (OCIMS)

The NRC Operations Center Information Management System (OCIMS) supports the NRC Operations Center during daily activities, regularly scheduled exercises, and reported emergencies by providing common access to data for the staff located at the NRC Headquarters Operations center (HOC) and NRC Regional Incident Response Centers (IRC). OCIMS is a suite of interactive information systems in five functional areas listed below:

1. Headquarters Operation Officer databases (HOOdb) collects information in the following subsystems.
   a. Events
   b. Radioactive Materials of Interest
   c. Headquarters Operations Officer's Log (HOO Log)
   d. Call List
2. Incident Response Management System IRMS
3. Automated Notification System (ANS)
4. Operations Center Telephone System
5. Protected Web Server (PWS)

The OCIMS systems provide working access to the information collected and created during operation of the Operations Center.

A. Subsystem Inputs, Master Files, and Outputs
1. Headquarters Operations Officer databases (HOOdb)

Information received by the Headquarters Operations Center related to Events and Shipment of Radioactive Materials of Interest for rectors, fuel facilities, and materials including those in Agreement States. Additionally, HOOdb is used to record daily routine Operations Center activities.

   a. ~~Inputs/Source Records~~
   Routine information and significant operational data received by the Operations Center are entered by the Headquarters Operations Center staff from telephone, fax, or other information sources into the appropriate HOOdb database. *GRS 16.2.b*

   Disposition: Temporary. Cut off when data entry is verified. Destroy/delete source ~~material one month after cutoff.~~

   b. **HOOdb Master Files**
   Information is maintained in five primary databases:

i.   Events – Chronological information related to an event or emergency at a licensed nuclear power plant or facility. Information maintained in the database may include:
Licensee identification (Name, Plant name, Docket number, Contact numbers)
Event or Emergency Description (Equipment involved, Initial cause evaluation, Individual reporting the event, etc.)
Times of Event Notification and Closure
Significant actions reported, including times.
Plant status including proprietary information related to the status of equipment.

Disposition: **Permanent**. Cut off at the end of the calendar year. Transfer files to the National Archives ten years after cutoff according to NARA guidance in 36 CFR 1228.270. Transfer to NARA in 5 year blocks when the oldest record in 15 years old.

(2)   ii.   Radioactive Materials Shipment (RAM QC) – Information describing the shipment of radioactive materials of interest, including the following:
- Licensee Identification
- Materials, Isotopes and Activity to be Shipped
- Anticipated Shipping Dates (departure and arrival)
- Anticipated Shipping Route
- Shipment Completed Date

Disposition: **TEMPORARY**. Retain a copy of the information concerning the shipment and cutoff when shipment is completed. Destroy ten years after the end of the fiscal year in which the shipment was completed.

(3)   iii.   HOO Log – Chronological log of Operations Center activities including:
- Staff Shift Change (Personnel and times)
- Licensee's Notifications
- Routine Shift Activities

Disposition: **TEMPORARY**. Cut off information accumulated during the year at the end of the fiscal year. Destroy/delete 10 years after cutoff.

(4)   iv.   Call List – Contact information for NRC, State, and other Federal Agency Operating Center support individuals including:
Name
Telephone numbers and e-mail addresses

Function or Team Assignments

Disposition: TEMPORARY. Delete when superseded.

c. HOOdb Outputs Reports

All HOOdb subsystems have the ability to print electronic or paper reports of the data contained in the system. These reports are used to assemble information necessary to perform the activities of the Operations Center and NRC.

Disposition: TEMPORARY. Cut off and destroy/delete when no longer needed for business purposes.

2. **Incident Response Management System (IRMS)**

Documentary materials that are collected to allow instantaneous access during an event or emergency. These materials may be analytical information and analyses, chronologies, reports, raw data, briefing materials, faxes, or presentations, personal notes, and documents, such as press releases.

a. ~~Inputs/Source Records~~

Copies of documents created or received by NRC staff during an event or emergency are placed in IRMS (currently called WebEOC) for use by the Center staff during the event or emergency.

GRS 16.2.b

Disposition: TEMPORARY. Cut off when the documents have been entered into IRMS and destroy/delete the copies used as input when no longer needed for business ~~purposes~~.

b. **IRMS Master File**
Information is maintained in a database:
  - Event Name and Licensee
  - Date Created
  - Status Boards (technical information – raw data)
  - Graphics (maps, dose projection modeling plume results, etc.)

  i. Executive Team Documents

Selected reports and briefings made available to the NRC Commission and senior management at briefings during or after the event or emergency. These include:

- Event Chronologies
- Status Summaries
- Press Releases
- Situation Reports

Disposition: TEMPORARY. Cut off when the event is closed. Confirm that these IRMS documents have been captured in the official NRC records repository (ADAMS, or other certified record keeping system) and delete the IRMS working copies when no longer needed for business purposes.

ii.   Other working documents and additional copies of these documents which may be made by the NRC staff as needed to support the business needs of the Operations Center staff during an event or emergency.

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Disposition: TEMPORARY. Cut off when the event is closed and destroy/delete when no longer needed for business purposes, but retain no longer than the corresponding IRMS Executive Team Document.

3. **Automated Notification System (ANS)**

ANS consists of call lists and equipment used to notify personnel assigned to the NRC Headquarters Operations Center of an in-progress event or emergency. The ANS notifies the appropriate staff to assemble for specific events. No physical or electronic outputs are created by this system.

a. ~~Inputs/Source Records~~

Names and contact information provided by NRC and Operations Center management are entered in the ANS from a subset of the HOOdb Call List.   G R S 16.2.b

Disposition: TEMPORARY. Cut off after the data have been entered and verified. ~~Destroy/delete the data sub-set when no longer needed for business reasons.~~

b. **ANS Master File**

The information in ANS consists of the call lists for each specific event type and includes:

⑧

Event Grouping
Primary Contacts with telephone numbers
Secondary Contacts with telephone numbers

Disposition: TEMPORARY. Delete when superseded.

4. Operations Center Telephone System

Official Operation Center telephone conversations are automatically recorded for future reference. The digital and analog taped recordings of telephone conversations from Operations Center telephones are evaluated to separate the routine daily telephone conversations from those associated with significant events or emergencies. The recordings are used during and after the event or emergency to evaluate the incident and to prepare analysis reports.

a. ~~Inputs/Source Records~~

Recordings of telephone conversations to and from the HOO on a full time basis are retained in the proprietary, native formats of the equipment manufacturer (currently MERCOM).

GRS 16.2.b

~~Disposition: TEMPORARY. See A.4.b below.~~

b. Master File

An index is used to locate the recordings. The information collected includes:
- Subject matter
- Telephone recorded
- Recording location (CD number and location)
- Way files by date and phone number

Disposition: TEMPORARY. Cutoff at the end of the fiscal year. Erase or destroy the index and the associated recordings ten years after cutoff or when no longer needed for business purposes.

NOTE: For significant historical incidents, such as Fukushima or TMI or those with Congressional or press interest, the NRC may choose to retain recordings and indexing for a longer time. The NRC will submit and SF-115 Proposed Disposition Schedule to NARA in these situations to determine if they are of permanent value.

c. ~~Outputs~~

Copies or transcripts of the conversations may be made to facilitate use of the records.

GRS 16.16

Disposition: TEMPORARY. Cut off and destroy when no longer needed for ~~business purposes~~.

B. OCIMS System Documentation

System Documentation has been developed for OCIMS and each of the subsystems in accordance with NUREG/BR-0167, "Software Quality Assurance Program & Guidelines." The following work products are typical of the documents available.

- Data Dictionary
- Build and Installation Instructions
- Logical Design
- Operational Support Guide
- Physical Design
- Plans of Action/Milestones (POAM)

Data Migration Plan
Project Action Plan
Project Charter
Training Material
User Guide
Standard Operating Procedures (SOP)

a) Initial and Revised Documentation

GRS 16.11.a.1

Disposition: TEMPORARY. Cut off when the documents are superseded and the revisions are placed in ADAMS or another approved recordkeeping system. Destroy/delete at cutoff.

b) Final System Documentation

i. Documentation for HOOdb Event Master File

GRS 16.11.a.2

Disposition: PERMANENT. Cut off file at the end of the calendar year. Transfer an electronic copy to the National Archives for pre-accessioning with the HOOdb Events Master File (Section A.1.b.i) five years after cutoff.

ii. Documentation for the Remaining OCIMS Master Files

GRS 16.11.a.1

Disposition. TEMPORARY. Cut off the applicable documentation when the OCIMS system or significant subsystems are decommissioned. Destroy/delete one year after cutoff.