

NUCLEAR SAFETY DIRECTORATE - BUSINESS MANAGEMENT SYSTEM		
Business Support FILE REVIEWS		BSS/IMT/010
		ISSUE 002
Approved By: <i>G MacDonald</i>	G MacDonald	Issue Date: 17/09/01
Open Government Status: Fully Open		Review Date: 16/09/04

1. Purpose & Scope

1.1 It is the purpose of this procedure to inform when and how registered files will be reviewed.

2. Policy

2.1 All files created by NSD will be reviewed in due course. PRO guidance specify that files should first be reviewed at 9 years and then at 25 years from the date the file was CLOSED, in accordance with the Public Records Act 1958 & 1967. Currently NSD is only reviewing files ONCE at 25 years. If staff time and resources allow, NSD will introduce 1st and 2nd reviews as per PRO and HSE guidelines.

3. Responsibilities

3.1 The Registry Manager has the following responsibilities:

- 1) To review files that are over 25 years old and make recommendations for their retention or destruction.
- 2) To ensure that accurate records are kept of files destroyed .
- 3) To ensure that files sent to the PRO for permanent retention are listed and restored in accordance with PRO instructions, prior to despatch to the PRO.

3.2 It is the responsibility of the Records Manager to ensure that the criteria for file selection remain current and are adhered to during file reviews.

4. Definitions

4.1 PRO - Public Record Office

4.2 DMS - NSD's computerised document management system which records details of files and file enclosures.

4.3 DRUID Quality Controller - person who quality checks all of the data input into the DRUID database (software used by PRO)

4.4 DRUID - Departmental Record User Information Database

5. Procedure

5.1 See **flowchart 1 procedure for Reviewing a File**

6. Associated Documents

6.1 **File Review sheet** (Form FileRev2)

6.2 Selection Criteria - Retention and Destruction

6.3 Records Management Handbook

6.4 DRUID User guide - internal DBSU guide

6.5 File Restoration job guide - internal DBSU guide

2nd Review (25 years) of Registered Files

File number.....

Date

Destroyed

Reason

Input onto DMS __/__/____

Input onto File Review Statistics (Lotus 123) __/__/____

Kept with HSE beyond 30 yrs (Lord Chancellors permission required)

Reason

(See guidelines for Druid input)

Retained at PRO

Reason

Input onto DMS __/__/____

Input onto File Review Statistics (Lotus 123) __/__/____

Druid Input

Lettercode **POWE** Division____ Class _____

Header.....

Subheader.....

Former ref.....

Scope/content.....
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Notes.....
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Sensitivity Null / 1 (sensitivity under review)

Date from _ / _ / _ _ _ _ to _ / _ / _ _ _ _

Closure status

Number of years _____

I Immediate opening

S Retained under Section 3(4) of Public Records Act 1958

T Temporary retention in Department

File Reviewer _____

File Lister _____

File Restorer _____

Sent to PRO on _ / _ / _ _ _ _ by _____

File review criteria

Retention

Created by NII

- ✓ Papers outlining or defining policy matters.
- ✓ Papers to which senior staff have contributed.
- ✓ Committee documents

- ✓ Papers relating to the preparation of legislation.
- ✓ Submission to Ministers or senior officials in the Cabinet
- ✓ Papers relating to the origins and development of NII or NSD or any of its earlier incarnations ; origins, development, organisation, procedures, papers cited in or noted as consulted in the preparation of any official histories, office notices, organisation charts, directories etc. showing distribution of work, manuals and instructions.
- ✓ Annual and other major departmental reports.
- ✓ Scientific and technical work ; records covering the history of major projects, special measures, initiatives and procedures both pursued and abandoned.
- ✓ External relations - within UK, international and bilateral agreements.
- ✓ Papers relating to well-known public or international events or those that give rise to interest or controversy nationally e.g. public enquiries.
- ✓ Independent studies by people contracted by NII
- ✓ Incidents and unusual or abnormal events together with corresponding investigations.
- ✓ NII team and special inspections / audits and their follow-up
- ✓ Prosecutions

Created by Licensee

- ✓ Nuclear Safety Advisory Committee files - keep papers and agendas (destroy correspondence)
- ✓ Whole questions about Agenda and minutes, papers, correspondence for all Committees.
- ✓ Minutes of start-up committees
- ✓ Emergency arrangements, exercises and procedures

Nuclear Reactor Site Records

- ✓ Siting of reactor ; internal site layout, public inquiries and inspectors report.
- ✓ Controversial papers on arguments / disagreements between NII & Licensee
- ✓ Dismantling of reactor
- ✓ Records of the final decontamination of the installation and of the corresponding radiological clearance surveys.
- ✓ Formal “ceased to be any danger” statements from NII ending the licence's “period of responsibility”

- ✓ Surrender of site licence (for whole or part of the site)

Papers required for operational purposes only :

(will need permission to keep)

For proposed nuclear installations

- ✓ Site parameters
- ✓ Presentations to public enquiries *(on assumption that the records associated with enquiries go to the PRO anyway)*

For any nuclear installations operating / decommissioning

- ✓ Site licences / conditions and corresponding Consents, Approvals Notifications and Approvals and Specifications.
- ✓ Periodic Safety Reviews / Safety cases / Operating rules
- ✓ Construction / Commissioning / Decommissioning programmes and records.
- ✓ Modification proposals.
- ✓ Licensees' safety justifications together with NII's assessments of their adequacy.
- ✓ Compliance records including attitude, competence, warnings, formal actions - and correspondence relating to this.
- ✓ Variations on site licences
- ✓ Development around site : details of applications, town / village plans, hotels etc., extensions. *(assuming these records would be kept long term by local councils)*
- ✓ Commissioning test results / certificates

File review criteria - *Destruction*

- ✓ Site visit reports
- ✓ Minutes and Papers of Safety Committees - kept by Licensee as the "lead" body
- ✓ Maintenance, Inspection, and testing schedules and their resulting record - kept by Licensee
- ✓ Duplicated information - i.e. photocopied or duplicated entries
- ✓ Routine correspondence
- ✓ Radiological Protection records: Health Physics, dose records, film badges, radiation contours, particulate effluent discharges, airborne contamination etc., - kept by employer and NRPB - (keep if NII has any relevant comments e.g. reasoning for higher than usual levels etc.)

- ✓ Proposals for purchases of nuclear power plants
- ✓ Licensee's: Safety Committee agendas, minutes, correspondence; inservice inspections; commissioning test results; commissioning programmes and documents.
- ✓ Environmental matters - pollution's etc., - no NII input.
- ✓ European Organisation Council of Europe parliamentary assembly
- ✓ Lists of trade organisations
- ✓ Secretary of State case & Parliamentary Under Secretary for Energy files
- ✓ Nuclear Safety Advisory Committee files - correspondence (keep papers and agendas)
- ✓ AEA / CEGB Nuclear Operations Committee papers
- ✓ Local Liaison Committee papers

Reviewing a File

