

NUCLEAR SAFETY DIRECTORATE - BUSINESS MANAGEMENT SYSTEM			
<b>BUSINESS SUPPORT DOCUMENT RETENTION SCHEDULE</b>		<b>BSS/IMT ANNEX 2</b>	
		ISSUE 001	
Approved By: <i>S Dolan</i>	S Dolan	Issue Date: 11/03/99	
Open Government Status: Fully Open		Review Date: 11/03/02	

## 1. INTRODUCTION

1.1 The purpose of a retention schedule can be summarised as follows:

- 1) providing a knowledge of what exists for *everyone* in NSD
- 2) ensuring that records are retained for as long as they are needed and no longer
- 3) identifying and preventing unnecessary duplication
- 4) identifying records of long term value, as early as possible, to secure them from accidental destruction and to plan for their preservation

1.2 The retention schedule is split into 2 parts -

### **ANNEX 2a - Documents created by NSD**

### **ANNEX 2b - Documents received by NSD**

and gives details of what types of documentation are kept, for what reasons, for how long and what happens to them at the end of their life cycle. Some documents are kept permanently (i. e. forever); others are kept for a limited period of time (with or without further review), whilst some are not kept at all. A summary of which types of document fall into which categories is given below.

## 2. INFORMATION THAT WILL BE KEPT PERMANENTLY

**2.1 The following information and documentation will be kept for ultimate transfer to the Public Record Office (PRO) who will keep it permanently :**

2.2 NSD will keep 2 master copies of all licences it issues, in 2 separate

locations in Bootle, as these are **vital records** i.e. crucial to the operation of NSD.

2.3 NSD will keep all relevant records pertaining to the granting or revocation of a licence or a licence instrument.

2.4 NSD will keep all relevant records pertaining to the surrender of a nuclear site licence.

2.5 NSD will keep all papers outlining or defining policy matters

2.6 NSD will keep all information on the history of NII or NSD or any of its earlier incarnations - INI etc - origins, development , organisation, procedures, (including papers cited in or noted as consulted in the preparation of any official histories; office notices; organisation charts , directories etc showing the distribution of work; manuals and instructions).

2.7 NSD will keep all papers relating to the preparation of legislation.

2.8 NSD will keep all information on external relations - within UK , international and bilateral agreements.

2.9 NSD will keep all papers relating to well-known public or international events or those which give rise to interest or controversy nationally e.g. public enquiries.

2.10 NSD will keep all records of NII team and special inspections / audits and their follow-up.

2.11 NSD will keep an archive set of all newsletters it produces for public information.

2.12 NSD will keep an archive set of all publications it formally issues.

2.13 NSD will keep all forms of job guidance pertaining to the conduct of regulatory activities (according to instructions from the PRO).

**2.14 NSD will keep the following documentation from licensees and with their permission will transfer to the PRO in due course:**

1) Site licence upon revocation

2) Incident Reports (formal reports arising from incident investigations and enquiries rather than initial event reports)

3) Category A /B / 1 Modifications

4) Periodic Safety Reviews and Safety Cases

5) Construction / commissioning / decommissioning programmes and records

6) Licensees' safety justifications together with NII's assessments of their adequacy

### **3. INFORMATION THAT WILL BE KEPT FOR A LIMITED PERIOD AND NOT TRANSFERRED TO THE PRO**

3.1 Much information is more appropriately retained permanently by the licensees and NOT by NSD. Therefore, NSD will only keep for a limited period (dependent upon operational need) such information as :

1) Minutes and papers of Safety Committees - should be kept by the licensee as the 'lead' body for such matters

2) Maintenance, Inspection and testing Schedules and the resulting records - should be kept by the licensee

3) Radiological Protection records - dose records etc - from licensees (these are kept by the employer)

3.2 Information that is only required to be kept for a very limited time will normally be kept on a MINOR file and will automatically be destroyed at the end of its life. Examples include:

1) Fast Stream reports

2) Letters to members of the public

3) OV1 forms

### **4. INFORMATION THAT WILL NOT BE KEPT ON FILE**

4.1 Copies of licensees' reports will be kept in the Information Centre and not routinely be held on file. Reports from licensees which have been used by NSD in any decision-making process, will be kept in the Information Centre and their details catalogued onto the Information Centre computer system. A

cross-reference will be made from the file to the Information Centre record.

4.2 Copies of licensees' newsletters will be held by the Information Centre and circulated according to demand.

4.3 Copies of travel arrangement bookings for individual members of staff, should only be kept by the individual and not kept on file.

## **5. INFORMATION THAT WILL NOT BE KEPT AT ALL BY NSD**

5.1 Superseded copies of documents issued by external organisations (mainly licensees) will not routinely be kept by NSD. If a document has acted as a 'trigger' for regulatory action by NSD, then a copy must be kept and specifically requested as such by an inspector. The onus is on the originating organisation of the document to keep superseded versions (*cf* licence condition 6 of the standard nuclear site licence). If members of staff wish to keep personal copies of superseded documentation, they may do so on the understanding that such documentation is no longer NSD's responsibility; that they are responsible for clearly labelling it as superseded and are also responsible for its safe storage and destruction.

NUCLEAR SAFETY DIRECTORATE - BUSINESS MANAGEMENT SYSTEM

**BUSINESS SUPPORT  
RETENTION SCHEDULE  
DOCUMENTS CREATED BY NSD**

**BSS/IMT ANNEX 2a**

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Document Type	Official Holder	Format Created	Format Circulated	Format Stored	Reason for Creation	Information in the document which needs to be retrievable	Retention Period	Action at end of Retention Period	Comments
<b>Administration</b>									
Monthly reports (individual / unit / division);  Unit / division meetings - agendas / minutes  Operating Plans	Individual / unit / division head as appropriate	Electronic	Electronic	Electronic / Paper	(1) Management Info	(1) Date (2) Author / Unit / Division (3) Subject (4) File ref	2 years	Destroy	
ARFs	Assessor	Electronic / Paper	Electronic / Paper	Paper	(1) Management info	(1) Title (2) ARF no. (3) Assessor's name (4) File ref (5) Subject (6) Project (7) Site name	(1) Lifetime of project - not likely to be referred to after assessment has been completed	Destroy	

Document Type	Official Holder	Format Created	Format Circulated	Format Stored	Reason for Creation	Information in the document which needs to be retrievable	Retention Period	Action at end of Retention Period	Comments
Incident reports (Fast stream reports)	Divs 1, 2, 3	Electronic / Paper	Electronic / Paper	Electronic / Paper	Report of incident on site	(1)Ref no (2) Site name (3) File ref (4)Subject (5) Date (6) Company name	Info referred to annually initially. Keep for 5 years; registry keep 4 copies for life of file	Destroy	Info too sketchy for any substantial investigation analysis at a later date
Requests to other divisions in HSE	Divs 1, 2, 3	Paper	Paper	Paper	Management info	(1) Title (2) Person's name	Keep 2 years	Destroy	
Travel Arrangements - car hire / hotel bookings / expenses claims	Individual member of staff	Paper	_____	Paper	(1) Admin Info	None	Keep until expenses claim paid	Destroy	
Overseas Visit Reports (OV2s)	Individual Inspector	Electronic	Electronic / Paper	Electronic / Paper	(1) Management Info	(1) Author's name (2) Country visited (3) Subject (4) Date	Copies kept by Director's Office and Safety Policy for 3-4 years	Destroy	
<b>External (Non - licensee) Communications</b>									
Letters to members of the public	Author	Electronic	Electronic	Paper	General communication - unlikely to be referred to again	(1) Title (2) person's name (3) Company name (4) Subject	2 years	Destroy	NB Data Protection Act if keeping on a file or database

Document Type	Official Holder	Format Created	Format Circulated	Format Stored	Reason for Creation	Information in the document which needs to be retrievable	Retention Period	Action at end of Retention Period	Comments
Letters to OGDs and LAs	Author	Electronic	Paper	Paper	General communication - referred to yearly (annual stats) Record of regulatory function - confirmation required from Environment Agency - no objection to NII issuing Licence Instruments which many have waste management implications	(1) Title (2) Ref no. (3) Person's name (4) Company name (5) Subject (6) Site name	1 copy for life of file - length of time may vary - dependent on subject	Destroy	
Reports to Local Liaison Committees	Unit head	Electronic	Electronic / Paper	Paper	(1) Management Info (2) Evidence	(1) Site name (2) Date (3) Subject	Lifetime of plant	Keep	
Ministerial Briefings	NSD Secretariat	Electronic / Paper	Electronic / Paper	Paper	Admin info General communication	(1) Title (2) Ref no. (3) Site name (4) Date (5) File ref (6) Subject	Copy kept on file for 2 years	Destroy	
Newsletters	NSD Secretariat	Electronic	Paper	Paper	General communication	(1) Title (2) Subject	Stocks kept by unit until exhausted;	Keep Ref copy in Info Centre retained permanently	
Official Publications	NSD	Electronic	Electronic / Paper	Paper	Official published record of regulatory activities	(1) Title (2) Date (3) ISBN (4) Subject	Keep permanently	Keep	

Document Type	Official Holder	Format Created	Format Circulated	Format Stored	Reason for Creation	Information in the document which needs to be retrievable	Retention Period	Action at end of Retention Period	Comments
Responses to PQs	NSD Secretariat	Electronic	Paper / Electronic	Electronic / Paper	Record of regulatory function	(1) Site name (2) Date (3) MP's name (4) Subject	2 years	Destroy	Info not input onto DMS Separate database kept by Secretariat Info will appear in public domain in Hansard
<b>Financial Information</b>									
Travel & Subsistence budgets / Work Recording	Finance & Planning section	Electronic	Electronic	Electronic	(1) Financial Info (2) Management Info	(1) Date (2) Individual name	Current year + 3 years pre-current	Destroy	
<b>Human Resources</b>									
Personal Work Plans (PWP) / Career Development / Training - courses etc / conference attendance / Correspondence with Personnel / OV1s	Individual	Electronic / Paper	Electronic / Paper	Paper / Electronic	(1) Personnel Info (2) Management Info	(1) Person's name (2) Titles of courses attended (3) Date(s)	Management keep 2 years; Individual keeps as long as wants; Copies of papers given at conferences retained permanently by Info Centre	Destroy all except copies of papers given at conferences	PWPs should not be put on any registered file. Training courses / conference attendance / OV1s should be put on minor files, i.e. automatically destroyed after 5 years
Job Guidance - assessment / inspection / admin	Directorate Systems Unit (DSU) as part of Business Management System (BMS)	Electronic	Electronic	Electronic / Paper	(1) Internal guidance (2) Evidence of consistent regulation	(1) Title (2) Subject (3) Date	Any relating to regulatory activities should be kept permanently	Keep	Official record of how NSD operates

Document Type	Official Holder	Format Created	Format Circulated	Format Stored	Reason for Creation	Information in the document which needs to be retrievable	Retention Period	Action at end of Retention Period	Comments
<b>Regulatory Activity</b>									
Assessment Reports	Author	Electronic	Electronic / Paper	Paper	Management info; Record of regulatory function - form part of auditable trail of NSD regulatory activities	(1) Title (2) Ref no. (3) Site name (4) date (5) Person's name (6) File ref (7) Subject (8) Project	Lifetime of plant	Keep	Storage on CD-ROM being investigated. Info useful for future decisions, need to be adequately indexed by subject.
Consent / approval / direction / withdrawal	Divs 1, 2, 3	Electronic / Paper	Electronic / Paper	Electronic / Paper	Record of regulatory function	(1) Ref no (site licence no.) (2) Site name (3) File ref (4) Subject (5) Project (6) Date (7) Company name	Keep for lifetime of plant + 30 years. Formal actions under licence	Keep	
Internal minutes/ memos	Divs 1, 2, 3	Electronic / Paper	Electronic / Paper	Paper	Management info; Record of regulatory function; Internal guidance; Provide audit trails for reasoning behind decision making processes	(1) Title (2) Site name (3) date (4) Person's name (5) File ref (6) Subject (7) Project	(1) Lifetime of file	Keep or Destroy depending on overall content of file	Relevant info would appear in more formal documents e.g. assessment reports

Document Type	Official Holder	Format Created	Format Circulated	Format Stored	Reason for Creation	Information in the document which needs to be retrievable	Retention Period	Action at end of Retention Period	Comments
Letters to Licensees	Divs 1, 2, 3	Electronic / Paper	Paper	Paper	(1) General communication (2) record of regulatory function	(1) Title (2) Site name (3) Date (4) person's name (5) File ref (6) Subject (7) Project (8) Ref no. (9) Company name	Letters to licensees should be kept for lifetime of plant if related to specific regulatory actions; otherwise destroy after 15 years	Keep permanently if related to regulatory activity, otherwise destroy	Excess duplication - Unique letter no files; subject file; site file; project file etc Some copies could be kept on minor files e.g. correspondence files and automatically ditched after 2-3 years.
Licence Instruments	1G (as was)	Electronic	Paper	Paper	Record of regulatory output	(1) Title (2) Ref no (3) Project (4) Site name (5) Company name (6) Subject (7) Date	Keep for lifetime of plant	Keep	
Research Projects - Reports and Evaluations	Divs 1, 2, 3 and Unit 1E (Research Unit)	Electronic	Paper	Paper	(1) Evidence (2) Management Info	(1) Title (2) Ref no. (3) Company name (4) File ref (5) Subject (6) Project (7) Date	Keep	Keep	Storage on CD-ROM being investigated. Info needs to be adequately indexed for future retrieval

Document Type	Official Holder	Format Created	Format Circulated	Format Stored	Reason for Creation	Information in the document which needs to be retrievable	Retention Period	Action at end of Retention Period	Comments
Site licence	Divs 1, 2, 3	Paper / Electronic	Paper	Paper / Electronic	Record of regulatory function	(1) Title (2) Site licence no (3) Site name (4) Licensee	Keep lifetime of plant (Blue copy kept for lifetime of plant + 30 years)	Keep (Some previous licences have requirements attached which are still in force despite licence being superseded.)	
Visit reports	Divs 1, 2, 3	Electronic / Paper	Electronic / Paper	Electronic / Paper	Management info; Record of regulatory function; record of site visit; Referred to in build up to issue of formal action under the licence	(1) Ref no (2) Site name (3) Persons' name (4) file ref (5) Date	Keep for lifetime of plant. Copies kept by individual; management; registry (2 copies)	Keep	Should only be 1 copy kept on file

NUCLEAR SAFETY DIRECTORATE - BUSINESS MANAGEMENT SYSTEM

**BUSINESS SUPPORT  
RETENTION SCHEDULE  
DOCUMENTS RECEIVED FROM EXTERNAL SOURCES**

**BSS/IMT ANNEX 2b**

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Document Type	Official Holder	Format	Reason(s) for Retention	Information in the document which needs to be retrievable	Retention Period	Action at end of Retention Period	Comments
Agendas / Minutes of Meetings / Papers - e.g NSC	Chairing organisation / Individual	Paper / Fax / Email	(1) Technical Info (2) Evidence - subsequent letters, reports , meetings etc	(1) Title (2) Ref No. (3) Site name (4) Subject (5) Project (6) Date (7) Company name	3 years for routine info or for life of project; keep NSC papers for lifetime of plant	Destroy	Under PRO guidelines - 'lead' organisation should keep such info permanently
Commissioning Procedures	Relevant site inspection / assessment units	Paper	(1) Technical Info	(1) Title (2) Ref no.	Until superseded	Destroy	Copy kept in admin office
Criticality Assessments	Divs 1, 2, 3	Paper	(1) Technical Info - needed for other reports from licensee; write letters, assessments etc.	(1) Ref no. (2) Site name (3) Date (4) File ref (5) Subject	Keep for same time as associated safety case	Destroy	
Decommissioning Plans / Programmes	Divs 1, 2, 3	Paper	(1) Legal Info (2) Technical Info	(1) Title (2) Ref No. (3) Site name (4) Subject (5) Project (6) Building no. / Business area	(1) Lifetime of project (2) Until superseded	Destroy	

Document Type	Official Holder	Format	Reason(s) for Retention	Information in the document which needs to be retrievable	Retention Period	Action at end of Retention Period	Comments
Drawings - site boundary; building plans; developments around sites	Divs 1, 2, 3	Paper	(1) Legal Info (2) Technical Info (3) Reference Info - planning applications and changes / nuclear incident / response to PQ	(1) Title (2) Ref No. (3) Site name (4) Subject (5) Project	1 copy of boundary drawing must be kept for lifetime of plant (with site licence); other copies can be ditched when superseded or no longer required	Keep site licence copy Destroy any others when superseded or project is complete	
Emergency Exercises / Plans	Divs 1, 2, 3	Paper; Email	(1) Management Info (2) Evidence - Emergency exercise reports collated annually and findings presented at industry wide forum and actioned accordingly	(1) Title (2) Site name (3) Licensee name (4) File ref (5) Subject	5 years	Destroy	Info presented at forum is produced as a single report
Emergency Handbook and amendments	Unit 1f	Paper	(1) Technical Info	(1) Site name (2) Title (3) Date	Until superseded	Destroy	Copies kept in Bootle Emergency Room / Nuclear Emergency Briefing room - London / Scottish Office Emergency room - Edinburgh. NSD is responsible for keeping all these copies up to date. Copies are also held by site inspectors
Incident Reports - incl those made to INES	Divs 1, 2, 3	Paper	(1) Legal Info (2) Technical Info (3) Evidence (4) International agreement (INES reports)	(1) Site name / Building Ref. (2) Licensee name (3) Date (4) Ref no. (5) Subject	(1) lifetime of plant - for reports of investigations into incidents  (2) Max of 5 years for initial event reports	Keep  Destroy	Only reports of investigations into incidents are kept long-term. Initial event reports are destroyed after 5 years

Document Type	Official Holder	Format	Reason(s) for Retention	Information in the document which needs to be retrievable	Retention Period	Action at end of Retention Period	Comments
Independent Assessments / Assessment Summaries	Divs 1, 2, 3	Paper	(1) Technical Info	(1) Title (2) Ref No. (3) Site name (4) Subject (5) Project	(1) Life of project or (2) Until next related project or lifetime of plant if fundamental to the decision making process	Keep	
Letters from Licensees	Whoever replies officially to the letter	Paper / Fax	(1) legal Info (2) Financial Info (3) Reference Info (4) Technical Info (5) Evidence	(1) Title (2) Author / Company Name (3) Ref no. (4) Site Name (5) Subject (6) Project (7) File Ref	(1) Lifetime of Plant (2) Life of Project	Destroy, unless directly related to regulatory activity and thus needed as evidence	Distributed too widely - Copies kept by individuals / admin office / registry / emergency room depending on subject
<b>Letters from non-licensees</b> e.g. OGDs, LAs, Pressure Groups, Members of the Public	Whoever replies officially to the letter	Paper / Fax	(1) Legal Info (2) Reference Info - ensure similar enquiries get similar info (3) Evidence - new or amended planning applications / follow-up letters	(1) Author / Organisation (2) Title (3) Date (4) Reference no. (5) Subject (6) Project (7) Site Name (8) File Ref	3 years, except for info related to planning applications - keep this for 11 years	Destroy	Planning info is kept for 11 years as the national census is every 10 years which supersedes info held
Maintenance Schedules - revisions/ reviews/ request for changes or extensions	Divs 1, 2, 3	Paper	(1) Legal Info - info needed until approved (2) Technical info	(1) Site name (2) Title (3) Ref No. (4) Subject (5) project	(1) Life of project (2) Until superseded	Destroy	Information that should be kept by Licensee. Requests that lead to licence instruments will be kept anyway as part of licence instrument file
Method Statements	Divs 1, 2, 3	Paper	(1) Legal Info (2) Technical Info - often required in support of application for Licence Instrument; Nuclear incident	(1) Title (2) Ref No. (3) Site name (4) Subject (5) Project	(1) Life of project (2) 5 years	Destroy	

Document Type	Official Holder	Format	Reason(s) for Retention	Information in the document which needs to be retrievable	Retention Period	Action at end of Retention Period	Comments
Modifications - Categories A / B / 1	Div 1,2,3	Paper Fax - documents are paper but additional info may be faxed	(1) Legal (2) Technical info; (3) Evidence	(1) Title (2) Ref No. (3) Site name (4) Subject (5) Project	(1) Lifetime of plant	Keep	All modifications kept with relevant Licensees' project or building file
Newsletters	Divs 1, 2, 3	Paper	(1) Reference Info - used occasionally to confirm licensees' announcement of incidents	(1) Title (2) Company name (3) Date	2 years	Destroy	Send to Info Centre to be circulated to interested individuals - do not put on file
Operating Rules / Instructions - amendments / suspensions / technical specifications	Divs 1, 2, 3	Paper	(1) Technical Info	(1) Title (2) Ref No. (3) Site name (4) Subject (5) Project	(1) Lifetime of plant (2) Until superseded	Destroy	
Outages - plans / programmes / reports	Divs 1, 2, 3	Paper	(1) Technical Info	(1) Site name (2) Title (3) Date (4) Subject (5) Project (6) Ref No.	15-20 years depending on content or until next outage	Destroy	
PQs	Director's Office	Paper	(1) Reference Info - consistency of replies to similar topics	(1) Subject (2) MP's name (3) Date (4) Site name (5) Licensee name	2 years	Destroy content of file but keep record of PQs asked (database)	
Periodic Safety Reviews	Divs 1, 2, 3	Paper	(1) Legal Info (2) Technical Info	(1) Title (2) Ref No. (3) Site name (4) Subject (5) Project	Until superseded	Destroy	Onus is on licensee to keep all versions permanently

Document Type	Official Holder	Format	Reason(s) for Retention	Information in the document which needs to be retrievable	Retention Period	Action at end of Retention Period	Comments
Requests for agreement / consent / approval	Divs 1, 2, 3	Paper	Legally required	(1) Ref no (2) Site name (3) date (4) Company name (5) Project	For life of project	Destroy	Copies held by individual; admin office and registry
Research Reports	Official recipient	Paper	(1) Technical Info	(1) Title (2) Ref No. (3) Site name (4) Subject (5) Project	20 years or until superseded	Keep	Copies should be kept by originating organisation
Safety Cases - incl. supporting documents	Divs 1, 2, 3	Paper	(1) legal Info (2) Technical Info (3) Evidence	(1) Title (2) Ref No. (3) Site name (4) Subject (5) Project (6) Date (7) File ref. (8) Company name	(1) Life of plant or (2) Until superseded	Destroy superseded copies. Send final version to PRO	Licensee should hold copies of all versions and editions
Site Licence Regulations	Divs 1, 2, 3	Paper	Management info; Technical info - used for site inspection to determine arrangements for compliance with site licence	(1) Title (2) Ref no. (3) Subject	Until superseded	Destroy	