

APPENDIX E RECORDS

The requirements for records management will vary according to the nature of the facility and the hazards and risks posed by it. Examples of the types of records that should be included in the system required by 10 CFR Parts 19, 20, 21, 25 and 70 are presented in the first list below. In the second list are examples of the types of appropriate records that may be established and maintained to provide reasonable assurance that items relied on for safety will be available and reliable to perform their function when needed, as referenced in 10 CFR 70.64. These listings are organized under the chapter headings of the SRP.

Although both lists provide examples of records, the listings are not intended to be exhaustive or prescriptive in format. Furthermore, the applicant may choose to organize the records in ways other than shown here.

Examples of Records Required by 10 CFR Parts 19, 20, 21, 25, 70

- Audits
- Access authorization for personnel
- Administrative procedures with safety Implications
- Air samples
- Bioassay data
- Change control records for material control and accounting program
- Dose to individuals of the public
- Exposure history
- Individual monitoring data
- Individual monitoring results
- Individual intakes of radioactive material
- Material storage records
- Planned special exposures
- Radiation protection (and contamination control) records
- Radiation training records
- Radiation work permits
- Records of cumulative occupational radiation dose
- Records of receipt, transfer and disposal of radioactive material
- Records of waste disposal
- Reports of theft/loss of licensed material
- Results of surveys/calibrations
- Results of measurements used to calculate radioactive effluents
- Safety and health compliance records, medical records, personnel exposure records, etc.

Examples of Records that Should Provide

**Reasonable Assurance that Items Relied on
for Safety will be Available and Reliable to Perform their Function**

1. General Information
 - a. Construction records
 - b. Facility and equipment descriptions and drawings
 - c. Design criteria, requirements, and bases for safety-related structures, systems, or components, as specified by the facility configuration management system
 - d. Records of facility changes and associated integrated safety analyses, as specified by the facility configuration management system
 - e. Safety analyses, reports, and assessments
 - f. Records of site characterization measurements and data
 - g. Records pertaining to onsite disposal of radioactive or mixed wastes in surface landfills
 - h. Specifications for safety-related items
2. Organization and Administration
 - a. Administrative procedures with safety implications
 - b. Change control records for material control and accounting program
 - c. Organization charts, position descriptions, and qualifications records
 - d. Safety and health compliance records, medical records, personnel exposure records
 - e. Quality assurance records
 - f. Safety inspections, audits, assessments, and investigations
 - g. Safety statistics and trends
3. Integrated Safety Analysis
4. Radiation Safety
 - a. Bioassay data
 - b. Exposure records
 - c. Radiation protection (and contamination control) records
 - d. Radiation training records
 - e. Radiation work permits
5. Nuclear Criticality Safety
 - a. Nuclear criticality control written procedures and statistics
 - b. Nuclear criticality safety analyses
 - c. Records pertaining to nuclear criticality inspections, audits, investigations, and assessments
 - d. Records pertaining to nuclear criticality incidents, unusual occurrences, or accidents
 - e. Records pertaining to nuclear criticality safety analyses
6. Chemical Safety
 - a. Chemical process safety procedures and plans

- b. Records pertaining to chemical process inspections, audits, investigations, and assessments
 - c. Diagrams, charts, and drawings
 - d. Records pertaining to chemical process incidents, unusual occurrences, or accidents
 - e. Chemical process safety reports and analyses
 - f. Chemical process safety training
7. Fire Protection
- a. Fire Hazard Analysis
 - b. Fire prevention measures, including hot-work permits and fire-watch records
 - c. Records pertaining to inspection, maintenance, and testing of fire protection equipment
 - d. Records pertaining to fire protection training and retraining of response teams
 - e. Pre-fire emergency plans
8. Emergency Management
- a. Emergency plan(s) and procedures
 - b. Comments on emergency plan from outside emergency response organizations
 - c. Emergency drill records
 - d. Memorandum of understanding with outside emergency response organizations
 - e. Records of actual events
 - f. Records pertaining to the training and retraining of personnel involved in emergency preparedness functions
 - g. Records pertaining to the inspection and maintenance of emergency response equipment and supplies
9. Environmental Protection
- a. Environmental release and monitoring records
 - b. Environmental Report and Supplements to the Environmental Report, as applicable
10. Decommissioning
- a. Financial assurance documents
 - b. commissioning cost estimates
 - c. Site characterization data
 - d. Final survey data
 - e. Decommissioning procedures

11. Management Measures

11.1 Quality Assurance

Audit records

11.2 Configuration Management

- a. Safety analyses, reports, and assessments that support the physical configuration of process designs, and changes to those designs
- b. Validation records for computer software used for safety analysis or MC&A
- c. ISA documents, including process descriptions, plant drawings and specifications, purchase specifications for items relied on for safety
- d. Approved, current operating procedures and emergency operating procedures

11.3 Maintenance

- a. Preventive maintenance records, including trending and root cause analysis
- b. Calibration and testing data for items relied on for safety
- c. Corrective maintenance records

11.4 Training and Qualification of Plant Personnel

- a. Personnel training and qualification record
- b. Procedures

11.5 Plant Procedures

- a. Standard operating procedures
- b. Functional test procedures

11.6 Human Factors Engineering/Personnel Activities

Personnel performance trends analyses and human factor improvements

11.7 Audits and Assessments

Audits and assessments of safety and environmental activities

11.8 Incident Investigations

- a. Investigation reports
- b. Changes recommended by investigation reports, how and when implemented
- c. Summary of reportable events for the term of the license
- d. Incident investigation policy

11.9 Records Management

- a. Policy
- b. Material storage records
- c. Records of receipt, transfer and disposal of radioactive material

12. Plant Systems

- a. Plant systems written procedures and statistics
- b. Plant systems safety analyses and management measures
- c. Records pertaining to plant systems inspections, audits, investigations, and assessments
- d. Records pertaining to a description of equipment and facilities design (electrical systems, structures and components, cooling water systems, containment/confinement systems, ventilation system, etc.)