

Good Practice Guidance for Records and Record Keeping (Draft 1.0 – outline structure and contents)

VERSION CONTROL	
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Draft Contents

Preface

Acknowledgements

Executive Summary

1 Introduction and Background

1.1 Introduction

- **Objective of document**
- **SAFEGROUNDS Context**
- **Approach to meeting the objective**
- **Consultation process**
- **Definitions**

1.2 Background to the Need

- **Key stakeholders**
- **The types of site**
- **Potential stages in the life cycle of sites**
- **The objectives of contaminated land management**
- **Contaminated land management issues**
- **The contaminated land management process**
- **The current state of records and record keeping in the industry**
- **Existing guidance and cross reference to other SAFEGROUNDS documents**
- **Importance and benefits of good record keeping**

- **How records and records management feature in restoration and the post restoration stages of the life cycle of a site**

2 Scope of Records to be Held

2.1 Site Information

- **Site setting**
- **Site and building history**
- **Plans, Drawings and Photographs**
- **Operational environmental monitoring and incident records**
- **Geological and hydrogeological studies**
- **Results of contaminated land site investigations**
- **Land quality information from non contaminated areas**
- **Development of conceptual models and validation**

2.2 Site Management

- **Safety cases**
- **Monitoring records**
- **Material movement tracking**
- **Contamination management and remediation records**
- **Records of decision making**
- **Post-remediation verification surveys of land condition**
- **Maintenance records associated with remediation schemes**
- **Regulatory correspondence and approvals**

2.3 Interfaces with other areas

- **Cross referencing to project stages**
- **Environmental management and environmental discharges**
- **Waste management**
- **Decommissioning**
- **QA**
- **Security**

3 Drivers and Responses

3.1 Requirements

- **Regulatory Requirements**
- **Site Owner Requirements**
- **NDA National Nuclear Archive**
- **Brownfield Redevelopment and Planning Requirements**

3.2 Business Drivers

- **Business Continuity & Succession Planning**
- **Risk Management**
- **Improved business processes**
- **Consistency and Integrity of data**
- **Transparency**
- **Organisational & Evidentiary Drivers**

3.3 Technological Drivers

- **Future Reporting, data transfer and file format requirements**
- **Anticipating future needs & Integrating new solutions**
- **Future Proofing & Flexibility**
- **Recording of spatial information**
- **Accessibility**

4 Record Keeping Systems and Associated Protocols

- **Existing record keeping schemes and initiatives**
 - **Strengths**
 - **Weaknesses**
- **New systems and improving/ incorporating existing systems**
 - **Different systems for different sites**
 - **Handling site-wide and project specific levels**
- **Recommended Approaches**
 - **Records Management Life Cycle Approach**
- **Retention of records**
 - **Identify Major Record Groups**
 - **Establish a record classification scheme**
 - **Determine retention periods for each class of records**
- **Policies and Procedures**
 - **Define responsibilities, roles and oversight for record keeping to encourage internal buy in to good practice**
 - **Induction Training**
 - **Determine procedures for the creation (classification/storage); Active Management (search/retrieval); Inactive Management (retention/legal holds) and Disposition (destruction/preservation)**
- **Access & Indexing**
 - **Use of Metadata and spatial references to define content and context to produce a consistent indexing system**

- **Use of consolidated records management system to ensure effective access, searchability, cross-referencing and retrieval**
- **Version control – revisions and additions to records**
- **Record Ownership, Transfer of ownership & chain of custody**
- **Storage Environment for different Media Types**
- **Turnaround time for retrieval of records**
- **Preservation**
- **Confidentiality, Access Restrictions & Security Controls**
- **Compliance & Accountability**
 - **Records Management Steering Group**
 - **Regular Communication**
 - **Quality Control**
 - **Reporting**
 - **Maintenance & Audit**
- **Disposition**
 - **Reviewing records for destruction or permanent preservation in line with a records retention schedule**
 - **Ensuring that authorisation for destruction is confirmed and certificated**
 - **Determine appropriate method of destruction for record format**

5 Good practice guidance

5.1 General

- **Raising the awareness and standing of contaminated land record keeping**
- **Good practice principles**

5.2 Site Land Quality File

- **Setting up and maintaining the record for each site**
- **Specific good practices approaches**
- **Potential topics checklists**
- **Key records**
- **Quality assurance, change control, referencing, accessing and archiving**

5.3 Summary

- **Flow diagrams and decision trees to relevant advice**
- **Conclusions and recommendations**

References

Appendices