Annex I

NCSX Project Records Retention Plan

1.0 BACKGROUND AND PURPOSE

The contract between Princeton University and the Department of Energy requires that a records management and retention program be established and implemented at PPPL. PPPL Procedure GEN-023 provides the overall laboratory plan for complying with this requirement. The purpose of this plan is to identify key NCSX documents and how they fit into the overall scheme.

2.0 NCSX FILE SYSTEM

The NCSX Project will have, to the maximum extent feasible, a web-based filing system with all the pertinent design and management documents maintained in electronic format. Where this is not feasible, hard copy documents will be maintained either in a central NCSX Project repository or with the originator of the document.

Access to changing the NCSX Project File System on the web is restricted to the NCSX Document Control Coordinator (initially the Project Secretary), the NCSX Project Control Manager, and the PPPL File System Coordinator. The one exception to this access rule will be design drawings. The Design Integration Coordinator will have access and control of design drawings posted to the NCSX Project File System.

Project records and documents are divided into three general categories. The three categories are design and requirements related documents, project management related documents, and project information documents. The first two categories will come under the NCSX Records Management Program, but the third will not.

The first category is comprised of all the design and requirements documents and records that define and substantiate the design, construction, modification, and operation of the NCSX device. Items that fall in this category would include the following:

- Requirements
- Design Descriptions
- NEPA Categorical Exclusion (CX) Documentation

- Safety Analysis Document
- Cost and Schedule Documents
- Technical Specifications
- Procurement Specifications
- Design Drawings
- Calculations and Design Memos that Substantiate the Design
- Change Control Documents
- Formalized Alternate Design Studies

The second category is comprised of those management documents that define and document the management approaches and procedures that will govern how the Project is managed. Additionally, this category will also include the cost and schedule documentation that provides the cost and schedule impacts of the approved design and/or proposed changes to that design. Items that will fall in this category would include the following:

- Project Execution Plan (PEP)
- Other Project Plans
    - Systems Engineering Plan
    - Configuration Management Plan
    - Quality Assurance Plan
    - Acquisition Plan
    - ES&H Plan
    - Risk Management Plan (if separate from PEP)
    - Operations Plan
- Project Control System Description and Procedures

The final category is by far the largest and comprises all the miscellaneous memorandums, e-mails, and other informal studies that are intended primarily for project information or general guidance. Individually, these documents do not either define the design or change it, do not change general and specific management directions, nor document specific baselines and design decisions.

The NCSX records can further be subdivided into design and construction records that define and support the Project Construction Project, operations records that define and support the operations phase of the device, and the decommissioning and dismantlement of the device at end of life. Since the NCSX Project is in the design and construction phase of its life, this plan will necessarily focus on the specific records retention appropriate for that phase. Section 3.0 which follows provides the specifics for this phase of the NCSX Project. Record retention for those documents generated during the latter phases such as operations and decommissioning and dismantlement will come under the laboratory procedures and plans developed for such projects as the National Spherical Torus Experiment (NSTX) and the Tokamak Fusion Test Reactor Decommissioning and Dismantlement Project (TFTR D&D).

3.0 Design and Construction Records

As indicated in Section 12.2 of the PEP, the technical design of the NCSX device is defined by a series of technical documents linked in a hierarchical approach the provides a clear method of establishing and documenting the performance requirements and design constraints that determine the basis for the NCSX design and construction. As the hierarchy of documents spreads from top level to more detailed, the implementation of these requirements within the constraints is expanded and documented and supported by the appropriate level of specifications, design drawings, studies, calculations, etc. that validate that the design will in fact meet its performance requirements.

In accordance with applicable DOE guidelines and PPPL Procedure GEN-023, Table 3-1 which follows defines the type of design and construction records that will be retained for the NCSX Project:

Design and Construction Records

Table 3-1

Type of Record	NCSX Record Key	DOE Record Type (GEN-023)	Retentiion Requirement (from GEN-023)
Initial Planning Documents	DC1	14	Until project completion
NEPA and Other Permits	DC2	O	10 years – need DOE approval to dispose of
Other Technical Information and/or Data Prepared for Outside (of DOE) agencies	DC3	O	10 years – need DOE approval to dispose of
Design Requirements Documents	DC4	A16	Cut off at end of each FY. Destroy after 10 years
Project Design Documentation Records	DC5	14	Until dismantlement or disposal
Project Management Records	DC6	16	1 year after project completed
Miscellaneous records supporting, but not required for project record purposes	DC7	14	Until project completion or superceded

Appendix A to this plan provides a records disposition and retention plan for design and construction phase of the Project. Since the Project is just completing the pre-conceptual design phase, by necessity, more detail will be provided for those documents needed to define and support the design rather than those needed to support the physical construction of the Project.

4.0 Operational Records

These records will include those documents generated and maintained during the operational phase of the NCSX device. In addition to design-related records that will document modifications and repairs to the device, there are also a number of operational records such as control room logs, experimental plans, etc. that need to be retained.
Policies and procedures for operational records retention and management developed and implemented for such projects as the NSTX will provide the framework for NCSX for that phase of the Project.

5.0 Decommissioning and Dismantlement Records

The final phase of the NCSX device will occur after completion of its useful experimental life. These records will document decommissioning and dismantlement plans and analyses. Policies and procedures for operational records retention and management developed and implemented for such projects as the TFTR D&D Project will provide the framework for NCSX for that phase of the Project.

6.0 Update of this Plan

This plan will be a living document that will be expanded as the life of the Project proceeds from a pre-conceptual phase to a more detailed design to a construction phase. Annually, the plan will be reviewed and the Appendices updated and expanded as additional detail becomes available.

Appendix A
NCSX Design and Construction Record Retention Schedule

Record Type	NCSX Record Code	Record Location	Retention Schedule
Initial Planning Documents • MOU • Mission Need Document • FESAC/PAC Documents • PEP • Cost/Schedule Documents • SEMP • Configuration Management Plan • QAP • Acquisition Plan	DC1	Files	Until Project Completion
NEPA and Other Permits • Safety Assessment Documentation • Categorical Exclusion (CX) Documentation • Other Permits	DC2	ESH	10 years – need DOE approval to dispose of
Technical Information and/or Data Prepared for Outside Agencies • State Permits	DC3	ESH	10 years – need DOE approval to dispose of
Design Requirements Documents • PDD • GRD • Other Memos/Guidance	DC4	Files	10 years – collect by Fiscal Year
Key Design Documents • SDDs • Technical Specifications • Procurement Specifications • Design Drawings defining the technical baseline • Engineering Change Proposals	DC5	Files	Until Project Decommissioning and Dismantlement
External Review Documents • PVR Report • CDR Report • Peer Review Reports • PDR Reports • FDR Reports	DC5	Files	Until Project Decommissioning and Dismantlement

Appendix A
NCSX Design and Construction Record Retention Schedule

Record Type	NCSX Record Code	Record Location	Retention Schedule
Other Supporting Design Documents • Project Prepared CDR, PDR and FDR documentation that includes appropriate Trade Studies/Memos/ Supporting Calculations/ Analyses • Other special project prepared documents that support external reviews	DC5	Files	Until Project Decommissioning and Dismantlement
Project Control Records • Project Estimate Guidance • Project Control System Description • Periodic Project Performance Analyses • Quarterly Reports • Project Validation Reports • Cost and Schedule Baseline Evolution Records, including WAFs	DC6	Files	1 year after project completion
Miscellaneous Records • Special physics reports requested by the Physics Manager • Special engineering reports requested by the Engineering Manager • Code explanatory memos	DC7	Originator	Until project completion or superceded