

<b>GPU Nuclear</b>		GPU Nuclear Corporate Policy and Procedure Manual	Number 100C-POL-1210.02
Title GPU Nuclear Records Retention Policy			Revision No. 0-00
Applicability/Scope GPUNC-Wide Applicability			Responsible Office Admin
This document is important to safety <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			Effective Date August 29, 1984

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	/S/	Vice President - Tech. Functions	7/2/84
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**1.0 PURPOSE**

- 1.1 The purpose of this policy is to ensure uniform records retention practices for all GPUNC generated records. Records will be reviewed on the time frames indicated (Exhibit I) for possible destruction or subsequent additional retention.

**2.0 APPLICABILITY/SCOPE**

- 2.1 This policy has GPUNC-wide applicability.
- 2.2 Nothing in this document shall conflict with applicable laws, rules, licenses, regulations, permits, orders and decisions of courts and regulatory agencies.
- 2.3 This policy will be implemented utilizing appropriate site/division implementing procedures.
- 2.4 This policy is applicable for all GPUNC related documents including those documents originated by GPUSC and contractors.
- 2.5 Until further notice, no records related to the TMI-2 accident should be discarded, with particular emphasis on the following:
- 2.5.1 All documents relating to any studies of the possible causes of the March 28, 1979 accident.
- 2.5.2 All documents relating to the events on March 28, 1979.
- 2.5.3 All documents referring to GPU's communications with the NRC with respect to the licensing of either TMI-1 or TMI-2.
- 2.5.4 To the extent not included above, all documents produced for review and inspection by counsel in the GPU vs. B&W litigation.
- 2.5.5 All documents relating to requalification training and certification of TMI-1 and TMI-2 licensed personnel and all personnel files for licensed operators at TMI-1 and TMI-2.
- 2.5.6 All documents related to Reactor Coolant Leak Rate Testing at TMI-1 and TMI-2.

**3.0 DEFINITIONS**

None.

#### 4.0 POLICY

It is the policy of GPUN Corporation to ensure that records are retained to ensure the regulatory compliance position of GPUNC with respect to all applicable federal, state, local and corporate records management requirements and to protect the technical and business position of the Company by preserving pertinent records for the appropriate periods of time.

- 4.1 All records specified in this policy are to be retained for the time periods indicated.
- 4.2 At the expiration of the indicated retention times, specific records will be reviewed for the possibility of destruction. Records may be retained for periods longer than specified in this Policy as indicated by prudent business practices and as defined by the appropriate originating department management.
- 4.3 Records will not be destroyed without the written approval of the applicable department management responsible for the generation of these records.

#### 5.0 RESPONSIBILITIES

- 5.1 The Administration Division, through the local Information Management Centers, is responsible for:
  - 5.1.1 Developing the necessary implementing procedures.
  - 5.1.2 Ensuring that the necessary facilities, storage and micrographics, are available to accomplish the overall objectives of this Policy.
  - 5.1.3 Notifying the record generating organization that the retention period has elapsed.
- 5.2 GPUNC Division management is responsible for:
  - 5.2.1 Ensuring that responsible originating departments review their records for retention and identify those scheduled for destruction as prescribed in the policy and local implementing procedures.
  - 5.2.2 Approving the destruction of records.

**6.0 REFERENCES**

- 6.1 GPUN Records Management Policy, 1000-POL-1210.01
- 6.2 Correspondence, Debevoise & Liberman to W. B. Murray, GPUSC, December 14, 1983: subject: "GPU System Companies Record Retention Requirements TMI-2 Accident."
- 6.3 GPUSC Records Retention Users Guide (draft).
- 6.4 "Regulations to Govern the Preservation of Records of Electric, Gas and Water Utilities", April, 1974 by National Association of Regulatory Utility Commissioners.
- 6.5 ANSI NQA 1-1979, Supplement 17S-1, "Supplementary Requirements for Quality Assurance Records" and Appendix 17A-1.
- 6.6 Correspondence, H. M. Graydon, Corporate Secretary GPUSC to Distribution, August 11, 1982: Subject: "Preservation of Records."
- 6.7 ANSI NQA-1a-1981, Appendix 17-1, "Guidance on Quality Assurance Records".
- 6.8 10CFR-50 Appendix B, Part 17, "Domestic Licensing of Production and Utilization Facilities".
- 6.9 NRC Regulatory Guide 1.88, "Collection, Storage and Maintenance of Nuclear Power Plant Quality Assurance Records".
- 6.10 GPUNC Operational QA Plan.
- 6.11 FERC - 18CFR-125, "Preservation of Records of Public Utilities and Licensees."
- 6.12 OSHA - 29CFR-1910.96 (m) and (n), "Labor".
- 6.13 ANSI N45.2.9, "Requirements for Collection, Storage and Maintenance of Quality Assurance Records for Nuclear Power Plants."
- 6.14 10CFR-40.63, "Domestic Licensing of Source Material".
- 6.15 10CFR-71.91 "Packaging and Transportation of Radioactive Material".
- 6.16 10CFR-71.135, "Packaging and Transportation of Radioactive Material"
- 6.17 Technical Specifications: TMI-1, TMI-2, Oyster Creek.

**7.0 ATTACHMENTS**

- 7.1 Exhibit 1 - Records Retention Listing.



## EXHIBIT 1 - RECORDS RETENTION LISTING

APPENDIX A - RETAIN FOR LIFETIME OF PLANTGENERIC TYPES OF QA/QC RECORDS  
(Including but not limited to the following)1.1.1 Design Records

- Applicable Codes and Standards Used in Design
- Design Drawings, Procedures and Manuals
- Design Calculations and Record of Checks
- Approved Design Change Documents
- Design Deviations
- Design Reports, Design Review Reports
- Design Verification Data
- Design Specifications and Amendments
- Drawing Control Procedures
- Engineering Surveillance Reports of Field Activity
- QA System Audit Reports
- Safety Analysis Report
- Stress Reports for Code Items
- Systems Descriptions
- Systems Process and Instrumentation Diagrams
- Technical Analysis, Evaluations, and Reports

1.2.1 Procurement Records

- Approved Waiver Requests
- Audit Reports
- Completed Material Nonconformance Reports
- Correspondence Invoked or Clarifying the Procurement Action
- Procurement Specification
- Purchase Order (Unpriced) Including Amendments/Attachments
- Purchase Requisitions with Attachments
- Receipt Inspection Reports

1.3.1 Manufacturing Records

- All Destructive Test Reports
- All NDE Reports Including Visual
- Applicable Code Data Reports
- As-Built Drawings and Records
- Certificate of Compliance
- Certificate of Inspection and Test Personnel Qualification
- Eddy-Current Examination Procedures and Final Results
- Electrical Control Verification Test Results
- Ferrite Test Procedure and Results
- Forming and Binding Procedure Qualifications
- Heat Treatment Procedures and Records

- Hot Bending Procedure
- Inspection and Test Instrumentation and Tooling Calibration Procedures and Records
- Liquid Penetrant Examination Procedure and Final Results
- Location of Weld Filler Material
- Magnetic Particle Examination Procedure and Final Results
- Major Defect Repair Records
- Material Properties Records
- Nonconformance Reports
- Performance Test Procedure and Results Records
- Pipe and Fitting Location Report
- Pressure Test Procedure and Results (Hydrostatic or Pneumatic)
- Product Equipment Calibration Procedure and Records
- QA Manuals, Procedures and Instructions
- QA System Audit Reports
- Radiograph Procedures and Review Records
- Radiographic Film
- Ultrasonic Examination Procedures and Final Results
- Welding Materials Control Procedures
- Welding Procedure Qualifications and Data Reports
- Work Processing and Sequencing Documents

#### 1.4.1 Installation Construction Records

##### 1.4.1.1 Receiving and Storage

- Nonconformance Reports
- Receiving Storage, Packaging Procedures
- Vendor Quality Assurance Releases

##### 1.4.1.2 Civil

- Aggregate Test Reports
- Batch Plant Operation Reports
- Cement Grab Sample Reports
- Check-off Sheets for Tendon Installation
- Concrete Cylinder Test Reports and Charts
- Concrete Design Mix Reports
- Concrete Placement Records
- Inspection Reports for Channel Pressure Tests
- Material Property Reports on Containment Liner & Accessories
- Material Property Reports on Metal Containment Shell and Accessories
- Material Property Reports on Steel Piping
- Material Property Reports on Reinforcing Steel
- Material Property Reports on Reinforcing Steel Splice Sleeve Material
- Material Property Reports on Steel Embedments in Concrete
- Material Property Reports on Structural Steel and Bolting

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- Material Property Reports on Tendon Fabrication Material
- Mix Water Chemical Analysis
- Pile Drive Log
- Pile Loading Test Reports
- Procedure for Containments Vessel Pressure Proof Test and Leak Rate Tests and Results
- Reinforcing Steel Splice Operator Qualification Reports
- Releases to Place Concrete
- Reports for Periodic Tendon Inspection
- Reports of High-Strength Bolt Torque Testing
- Slump Test Results
- Soil Compaction Test Reports
- User's Tensile Test Reports on Reinforcing Steel and Reinforcing Steel Splices

1.4.1.3 Welding

- Ferrite Test Procedures and Results
- Heat Treatment Procedures and Records
- Liquid Penetrant Test Procedures and Final Results
- Magnetic Particle Test Procedures and Final Results
- Major Weld Repair Procedures and Results
- Material Property Records
- Radiograph Review Records and Radiographs
- Radiographic Test Procedures
- Ultrasonic Test Final Results
- Weld Location Diagrams
- Weld Procedures
- Weld Procedures Qualifications and Results
- Welding Filler Metal Material Reports
- Welding Materials Control Procedures
- Welding Personnel Qualification

1.4.1.4 Mechanical

- Cleaning Procedures and Results
- Code Data Reports
- Construction and Installed Lifting and Handling Equipment Procedures, Inspection, and Test Data
- Documentation of System Check-Off (Logs or Data Sheets)
- Erection Procedures for Mechanical Components
- Hydro Test Procedures and Results
- Lubrication Procedures and Records
- Material Properties Records
- Material Property Test Reports for Thermal Insulation
- Pipe Hanger and Restraint Data
- Pipe and Fitting Location Reports
- Pipe and Fitting Material Property Reports
- Pressure Test Results (Hydrostatic or Pneumatic)
- Safety Valve Response Test Procedures and Results

#### 1.4.1.5 Electrical and I and C

- Cable Pulling Tension Data
- Cable Separation Data
- Cable Splicing Procedures
- Cable Terminating Procedures
- Certified Cable Test Reports
- Relay Test Procedures
- Voltage Breakdown Test Results on Liquid Insulation

#### 1.4.1.6 General

- "As-Built" Drawings and Records
- Final Inspection Reports and Releases
- Nonconformance Reports
- Specifications and Drawings

#### 1.5.1 Pre-operational and Startup Test Records

- Automatic Emergency Power Source Transfer Procedures and Results
- Final System Adjustment Data
- Pressure Test Results (Hydrostatic or Pneumatic)
- Initial Heatup, Hot Functional, and Cooldown Procedures and Results
- Initial Plant Loading Data
- Initial Reactor Criticality Test Procedures and Results
- Instrument AC Systems and Inverters Test Procedures and Records
- Main and Auxiliary Power Transformer Test Procedures and Results
- Off-Site Power Source Energizing Procedures and Test Reports
- On-Site Emergency Power Source Energizing Procedure and Test Reports
- Plant Load Ramp Change Data
- Plant Load Step Change Data
- Power Transmission Substation Test Procedures and Results
- Pre-operational Test Procedures and Results
- Primary and Secondary Auxiliary Power Test Procedures and Results
- Reactor Protection System Tests and Results
- Startup Logs
- Startup Test Procedures and Results
- Station Battery and DC Power Distribution Test Procedures and Reports
- Water Chemistry Report



### 1.6.1 Operational Phase Activity Records

- Abnormal Occurrence Records
- All Reportable Occurrences Submitted to the NRC
- Changes Made in the Operating Procedures
- Control Room Log Books
- Current Individual Plant Staff Member Qualifications, Experience, Training, and Retraining Records
- Minutes of Meetings of Plant Safety Committees and Company Nuclear Review Boards. e.g., PORC, SRG
- New and Spent Fuel Inventory, Transfers of Fuel, and Assembly Histories
- Normal Nuclear Unit Operations, Including Power Levels and Periods of Operation at Each Level
- Off-Site Environmental Monitoring Survey Records
- Periodic Checks, Inspections and Calibrations Performed to Verify that Surveillance Requirements are Being Met
- Plant Radiation and Contamination Survey Records
- Radiation Exposure Records of all All Plant Personnel, and Others Who Enter Radiation Control Areas
- Radiation Safety Program Reports & Quarterly Recovery Progress
- Radioactivity Levels of Liquid and Gaseous Waste Released to Environment
- Reactor Cooling System Inservice Inspection Records
- Records and Drawing Changes Reflecting Facility Design Modifications Made to Systems and Equipment Described in the Safety Analysis Report, TER, SD, or Safety Evaluation Previously Submitted to the NRC
- Records and Logs of Principal Maintenance Activities, Inspections, Repair and Replacement of Principal Items of Equipment Related to Nuclear Safety and Radioactive Waste Systems
- Records and Logs of Radioactive Waste Systems Operations
- Records of Annual Physical Inventory of All Sealed Source Material of Record
- Records of Quality Assurance Activities Required by the Operating Quality Assurance Plan
- Records of Radioactive Shipments
- Records of Reviews Performed for Changes Made to Procedures or Equipment or Reviews of Tests and Experiments Pursuant to 10 CFR 50.59
- Records of Sealed Source & Fusion Detector Leak Tests & Results
- Records of Substitution or Replacement of Principal Items of Equipment Pertaining to Nuclear Safety
- Records of Surveillance Activities, Inspections and Calibrations Required by Technical Specifications
- Reports on the March 29, 1979 Incident
- Shift Foremen Log Books
- Special Reactor Test or Experiment Records
- Transient or Operational Cycling Records for Those Plant Components That Have Been Designed to Operate Safely for a Limited Number of Transients or Operational Cycles

## APPENDIX B

GENERIC TYPES OF NON-QA/QC RECORDS  
(Including but not limited to the following)DESCRIPTIONRETENTION PERIODI. CORPORATE AND GENERAL

## 1.1.1 Organizational documents:

(a) Titles, franchises, and  
licenses:

- |  |   |
|--|---|
| (1) Deeds and other title papers (including abstracts of title and supporting data).   | 6 years after property is disposed of unless surrendered to transferee.         |
| (2) Corporate charters or certificates of incorporation.   | Life of corporation.  |
| (3) Franchises and certificates authorizing operations as a public utility.  | Ditto.  |
| (4) Licenses (including amendments thereof) granted by Federal or State authorities for construction and operation of utility plant. | 25 years after plant is retired or expiration of license, whichever is shorter. |
| (5) Copies of formal orders of regulatory commissions served upon the utility.   | Life of corporation.  |

## (b) Permits:

- |  |   |
|--|---|
| (1) Permits and granted application for the use of facilities of others. | 6 years after expiration or cancellation. |
|--|---|

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(2) Copies of permits and applications granted others for the use of the utility's facilities. 6 years after expiration or cancellation

(3) Applications for the use of facilities not granted and copies of such applications. Destroy at option.

(4) Permits of a temporary nature for municipalities or others to perform specific work, such as permits to open streets. Destroy at option.

(c) GPUNC Organization Plan Life of Corporation

(d) Organization diagrams and charts. Destroy at option after expiration or supersession.

1.1.2 Contracts and agreements (except contracts provided for elsewhere):

(a) Service contracts, such as for management, accounting and financial services. For life of plant, if plant related. If not, 6 years..

(b) Leases pertaining to rentals of property to or from others. Ditto.

(c) Contracts and agreements with individual employees, labor unions, company unions, and other employee organizations relative to wage rates, hours and similar matters. Ditto.

(d) Contracts, agreements, and/or other essential records necessary to the carrying out of the functions of an employee's stock purchase or other type of employees' saving plan. Ditto.

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- |  |   |
|--|---|
| (e) Contracts or agreements for the acquisition or disposal of investments (Excluding temporary cash investments).   | For life of plant, if plant related. If not, 6 years. |
| (f) Memoranda essential to clarifying or explaining provisions of contracts listed above.  | Ditto   |
| (g) Card or book records of contracts, leases, and agreements made showing dates of expirations and of renewals, memoranda of receipts and payments under such contracts, etc. | Ditto.  |

## 1.1.3 Accountants' and auditors' reports:

- |   |   |
|---|---|
| (a) Reports of examinations and audits by accountants and auditors not in the regular employ of the utility (Such as reports of public accounting firms and regulatory commission accountants). | 7 years after date of report or Commission audit, whichever comes last. |
| (b) Internal audit reports and work papers.   | Ditto.  |



## II. AUTOMATIC DATA PROCESSING

### 1.2.1 Automatic data processing records

(Retain original source data used as input for data processing and data processing report printouts for the applicable periods prescribed elsewhere in the schedule):

- |   |  |
|---|--|
| (a) Punched cards, tapes or similar media used as intermediate records or steps in data processing for assembling data to be posted to the records of the company or used in a report or study. | Destroy at option.   |
| (b) Program documentation and revisions thereto.  | Retain for periods prescribed for related output data. Statements and illustrations as to the scope of operations should be sufficiently detailed to indicate (a) the application being performed, (b) the procedures employed in each application (which, for example, might be supported by flow charts, block diagrams or other descriptions of operating procedures), and (c) the controls used to insure accurate and reliable processing. Major program changes, together with their effective dates, should be noted in order to preserve an accurate chronological record. |

## III. GENERAL ACCOUNTING RECORDS

### 1.3.1 General and subsidiary ledgers:

- |   |           |
|---|-----------|
| (a) (1) General ledgers   | 50 years. |
| (2) Ledgers subsidiary or auxiliary to general ledgers except ledgers provided for elsewhere. | Ditto.    |
| (b) (1) Indexes to general ledgers.   | Ditto.    |

- (2) Index to subsidiary ledgers except ledgers provided for elsewhere. 50 years
  - (c) Trial balance sheets of general and subsidiary ledgers. 2 years.
- 1.3.2 Journals:
  - (a) General and subsidiary. 50 years.
- 1.3.3 Journal vouchers and journal entries including supporting detail:
  - (a) Journal vouchers and journal entries. Ditto.
  - (b) Analyses, summarizations, distributions, and other computations which support journal vouchers and journal entries:
    - (1) Charging plant accounts. 6 years.
    - (2) Charging all other accounts. Ditto.
  - (c) Schedules for recurring journal entries. Destroy when superseded.
  - (d) Lists of standard journal entry numbers. Ditto.
- 1.3.4 Cash books:
  - (a) General and subsidiary or auxiliary books. 10 years after close of fiscal year. (See Item 1.3.3(a).)
- 1.3.5 Voucher registers:
  - (a) Voucher registers or similar records when used as source documents. 6 years.

**1.3.6 Vouchers:**

- |  |                    |
|--|--------------------|
| (a) Paid and cancelled vouchers  | 6 years            |
| (1 copy-analysis sheets showing detailed distribution of charges on individual vouchers and other supporting papers)               |                    |
| (b) Original bills and invoices for materials, services, etc., paid by vouchers.   | 6 years.           |
| (c) Paid checks and receipts for payments by voucher or otherwise.   | Ditto.             |
| (d) Authorization for the payment of specific vouchers.  | Ditto.             |
| (e) Lists of unaudited bills (accounts payable), lists of vouchers transmitted and memoranda regarding charges in unaudited bills. | Destroy at option. |
| (f) Voucher indexes.   | Ditto.             |

**1.3.7 Accounts receivable:**

- |  |                           |
|--|---------------------------|
| (a) Records of accounts receivable pertaining to sales of utility plant.   | 3 years after settlement. |
| (b) Record or register of accounts receivable and indexes thereto and summaries of distribution.   | Ditto.                    |
| (c) Accounting department copies of invoices issued and supporting papers which do not accompany the original invoices and authorizations for charges including supporting papers. | Ditto.                    |

(d) Periodic statements of unsettled accounts, except trial balances. Destroy at option.

(e) Schedule of invoices to be issued. Ditto.

1.3.8 Records of securities owned:

(a) Records of securities owned, in treasury, or with custodians (excluding temporary investment of cash). 6 years after disposal of the investment.

1.3.9 Payroll records:

(a) Payroll sheets or registers of payments of salaries and wages. 6 years.

(b) Records showing the distribution of salaries and wages paid and summaries or recapitulation statements of such distribution. Ditto (See Item 1.3.3(b).

(c) Time tickets, time sheets, time books, time cards, workmen's reports and other records showing hours worked, description of work and accounts to be charged:

(1) When used as a basis for payment of salaries and wages supporting records described in 1.3.9(a). Ditto.

(2) When used solely as basis for supporting records described in 1.3.9(b). Destroy at option.

(d) Paid checks, receipts for wages paid in cash and other evidences of payments for services rendered by employees. 3 years.



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- (e) Applications and authorizations for changes in wage and salary rates, summaries and reports of changes in payrolls, and similar records. 3 years
- (f) Applications for payroll changes not authorized. Destroy at option.
- (g) Payroll authorizations and records of authorized positions. 3 years.
- (h) Records of deductions from payrolls. Destroy at option.
- (i) Comparative or analytical statements of payrolls. Ditto.
- (j) Employee's individual earnings record. 6 years after termination of employment.

## 1.3.10 Assignments, attachments, and garnishments:

- (a) Record of assignments, attachments, and garnishments of employees' salaries, including files of notices, etc. pertaining thereto. Destroy at option.
- (b) Minors' salary releases. Ditto.

IV. INSURANCE

## 1.4.1 Insurance records:

- (a) Records of insurance policies in force, showing coverage, premiums paid and expiration dates. Destroy at option after expiration of such policies.
- (b) Insurance policies. Ditto.
- (c) Records of amounts recovered from insurance companies in connection with losses and of claims against insurance companies, including reports of losses and supporting papers. 6 years.

- (d) Inspectors' reports and records of condition of property. Destroy when superseded.
- (e) Insurance maps of property and structures erected thereon. Ditto.
- (f) Records and statements relating to insurance requirements. Destroy at option.

**1.4.2 Injuries and damages:**

- (a) Claim registers, card or book indexes and similar records in connection with claims presented against the company in connection with accidents resulting in damage to the property of others or personal injuries. 2 years after settlement.
- (b) Papers, reports, statements of witnesses, etc., necessary to the support or rejection of individual claims against the company. Ditto.
- (c) Other papers, reports or statements, pertaining to accidents resulting in property damages or personal injuries, not necessary to the support or rejection of claims. Destroy at option.
- (d) Detailed schedules or spread sheets of payments to others for personal injuries or for property damages. 2 years after settlement.

**V. OPERATIONS AND MAINTENANCE****1.5.1 Production-Electric:**

- (a) Boiler room, condenser room, turbine room, and pump room logs, including supporting data. 3 years.

- |   |  |
|---|--|
| (b) Boiler room and turbine room reports of equipment in service and performance. | 3 years.   |
| (c) Boiler-tube failure report.   | Ditto.   |
| (d) Generation and output logs with supporting data.                              | 6 years.   |
| (e) Station and system generation reports.  | 25 years.  |
| (f) Generating high-tension and low-tension load records.                         | 3 years  |
| (g) Oil and waste reports.  | Ditto.   |
| (h) Load curves, temperature logs, coal, and water logs.                          | Ditto.   |
| (i) Gage-reading reports.   | 2 years, except river-flow data collected in connection with hydro-operation shall be retained for life of corporation.  |
| (j) Recording instrument charts.  | 1 year, except where the basic chart information is transferred to another record, the charts need only be retained six months provided the record containing the basic data is retained one year. |
| (k) Load dispatcher's and station permits.  | Ditto.   |

**1.5.2 Production - Nuclear:**

- |   |   |
|---|---|
| (a) Records of normal plant operation, including power levels and periods of operation at each power level. | 6 years/operating charts for the first year's operation will be stored for the life of the corporation. |
| (b) Records of any special reactor tests or experiment.   | Life of corporation.  |
| (c) Records of changes made in the operating procedures.  | Ditto.  |

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**1.5.3** Records of auxiliary and other operations:

- (a) Records of operations other than utility operations.

Retain for same periods as prescribed in these regulations for similar records pertaining to utility operations.

**1.5.4** Maintenance work orders and job orders:

- (a) Authorization for expenditures for maintenance work to be covered by work orders, including memoranda showing the estimates of costs to be incurred.
- (b) Work order sheets to which are posted in detail the entries for labor, material, and other charges in connection with maintenance, and other work pertaining to utility operations.
- (c) Summaries of expenditures on maintenance and job orders and clearances to operating and other accounts (exclusive of plant accounts).

6 years.

Ditto.

Ditto.

**1.5.5** Mechanical

- (a) Data Sheets or Logs on Equipment Installation, Inspection and Alignment.
- (b) Chemical Composition User's Test (Grab Samples) for Thermal Insulation.
- (c) Chemical Tests of Water Used for Mixing Insulation Cement.

Retain through first overhaul or first fuel reload, whichever is greater

Retain until warranty has expired.

Ditto



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## 1.5.6 Electrical and I&amp;C

- (a) Instrument Calibration Results Retain until re-calibrated.
- (b) Documentation of Testing Performed after Installation and Prior to Systems Conditional Acceptance Retain through first overhaul or first fuel re-load, whichever is longer.
- (c) Reports of Pre-Installation Tests. Ditto.

## 1.5.7 General

- (a) Calibration of Measuring and Test Equipment and Instruments Procedures and Reports. Until re-calibrated.
- (b) Certificate of Inspection and Test Personnel Qualification Until expiration of warranty.
- (c) Field Audit Reports 6 years
- (d) Field Quality Assurance Manuals Retain through first overhaul or first fuel re-load whichever is longer.

## 1.5.8 Pre-Operational and Startup Test

- (a) Flushing Procedures and Results. Ditto.
- (b) System Lubricating Oil Flushing Procedures. Ditto.
- (c) Startup Problems and Resolutions. 6 years

## VI. HUMAN RESOURCES

## 1.6.1 Personnel records:

- (a) Employees' service records, records of hire, length of service and other pertinent data. 30 years after termination of employment.
- (b) Requests for medical examination, medical examiner's report, photographs, and other identification records, and other miscellaneous records pertaining to the hiring of employees. 30 years after termination of employment.
- (c) Application for employment for candidates not hired. 1 year

## 1.6.2 Employees' benefit and pension records:

- (a) Records showing computations of accruals for pension liabilities. 6 years after supersession of the study or report or termination of plan.
- (b) Pension or annuity payrolls. 6 years.
- (c) Pension paychecks. 4 years.
- (d) Records pertaining to employees' benefit programs. Destroy at option.
- (e) Pensioner personnel files. Retained in Human Resources until death. Retained in Information Services Department 7 years after death.

## 1.6.3 Instructions to employees and others:

- (a) Bulletins or memoranda of general instructions issued by the company to employees pertaining to changes in accounting, engineering, operating, maintenance and construction policies. 10 years after expiration or supersession.

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- (b) Bulletins or memoranda of general instructions issued by the company to employees pertaining to accounting, engineering, operating, maintenance and construction methods and procedures.

Destroy at option after expiration or supersession.

- (c) Notices to employees on matters of discipline, deportment, and other similar subjects.

1 year from date of issuance unless another notice is issued or possible criminal activity is indicated. In latter case, destroy only as directed by Legal.

## VII. PLANT AND DEPRECIATION

### 1.7.1 Plant ledgers:

- (a) Ledgers of utility plant accounts including land and other detailed ledgers showing the cost of utility plant by classes.

50 years.

- (b) Continuing plant inventory ledger, book or card records showing description, location, quantities, cost, etc., of physical units (or items) of utility plant owned.

6 years after plant is retired, provided mortality data is retained.

### 1.7.2 Construction work in progress ledgers, work orders, and supplemental records:

- (a) Construction work in progress ledgers.

10 years after clearance to the plant account, provided continuing plant inventory records are maintained; otherwise six years after plant is retired.

- (b) Work order sheets to which are posted in summary form or in detail the entries for labor, materials and other charges for utility plant additions and the entries closing the work orders to utility plant in service at completion.

Ditto.

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- (c) Authorizations for expenditures for additions to utility plant, including memoranda showing the detailed estimates of cost and the basis therefore (including original and revised or subsequent authorizations.) 10 years.
- (d) Requisitions and registers of authorizations for utility plant expenditures. 10 years.
- (e) Completion or performance reports showing comparison between authorized estimated and actual expenditures for utility plant additions. Ditto.
- (f) Analysis or cost reports showing quantities of materials used, unit costs, number of manhours, etc., in connection with completed construction project. 10 years after clearance to the plant account, provided continuing property plant inventory records are maintained; otherwise 6 years after plant is retired.
- (g) Records and reports pertaining to progress of construction work, the order in which jobs are to be completed and similar records which do not form a basis of entries to the accounts. Destroy at option.

1.7.3 Retirement work in progress ledgers, work orders, and supplemental records:

- (a) Work order sheets to which are posted the entries for removal costs, materials recovered, and credits to utility plant accounts for cost of plant retired. 10 years after plant is retired, provided mortality data is retained.
- (b) Authorizations for retirement of utility plant, including memoranda showing the basis for determination of cost of plant to be retired and estimates of salvage and removal costs. 10 years after clearance to the plant account, provided continuing plant inventory records are maintained; otherwise six years after plant is retired.



- (c) Registers of retirement work orders. 10 years.
- 1.7.4 Summary sheets, distribution sheets, reports, statements, and papers directly supporting debits and credits to utility plant accounts not covered by construction or retirement work orders and their supporting records. 10 years after clearance to the plant account, provided continuing plant inventory records are maintained; otherwise six years after plant is retired.
- 1.7.5 Appraisals and valuations: Appraisals and valuations made by the company of its properties or investments or of the properties or investments of any associated companies. (Includes all records essential thereto.) 3 years after disposition, termination of lease, or write-off of property or investment.
- 1.7.6 Engineering records in connection with construction projects:
- (a) Maps, diagrams, profiles, plans, photographs, records of engineering studies and similar records in connection with proposed construction projects:
- (1) If construction of project results wholly or in part. Until record is superseded or 6 years after plant is retired.
- (2) If construction of project does not result. Destroy at option after completely accounting for expenses incurred.
- 1.7.7 Contracts and other agreements relating to utility company records:
- (a) Contracts relating to acquisition or sale of plant. 6 years after plant is retired.

- (b) Contracts and other agreements relating to services performed in connection with construction of utility plant (including contracts for the construction of plant by others for the utility and for supervision and engineering relating to construction work.) 6 years after plant is retired.
- 1.7.8 Records pertaining to reclassifications of utility plant accounts to conform to prescribed systems of accounts, including supporting papers showing the basis for such reclassifications. 6 years (See Item 1.3.3(b) (1)).
- 1.7.9 Records of accumulated provision for depreciation and depletion of utility plant:
- (a) Detailed records or analysis sheets segregating the accumulated provision for depreciation according to functional classification of plant. 25 years.
- (b) Records supporting computation of depreciation and depletion expense of utility plant, including such data as life and salvage studies. Ditto.

**VIII. PURCHASES AND STORES****1.8.1 Procurements:**

- (a) Agreements entered into for the acquisition of goods or the performance of services. Includes all forms of agreements not specifically set forth in Item 1.1.2 such as, but not limited to: letters of intent, exchange of correspondence, master agreements, term contracts, rental agreements and the various types of purchase orders:
  - (1) For goods or services relating to plant. For life of plant.
  - (2) For other goods and services. 6 years.
- (b) Supporting documents including bids or proposals evidencing all relevant elements of the procurement, purchaser's pre-award quality assurance survey, supplier's quality assurance program manual. For life of plant. Other goods and services, 6 years.
- (c) All other procurement records such as requisitions, advices from suppliers, registers or similar records of invoices, receiving records. Ditto

**1.8.2 Material ledgers:**

- (a) Ledger sheets and card records of materials and supplies received, issued and on hand. 6 years. (See Item 1.3.3(b).
- (b) Statements of materials and supplies on hand, per ledgers. Destroy at option after completion of annual audit by independent accountants.

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**1.8.3 Materials and supplies received and issued:**

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| (a) Records and reports pertaining to receipt of materials and supplies.   | 6 years. (See Item 1.3.3(b).)   |
| (b) Records of inspecting and testing materials and supplies.  | For life of plant, if plant related. If not, 6 years.   |
| (c) Records showing the detailed distribution of materials and supplies issued during accounting periods.  | 6 years. (See Item 1.3.3(b).)   |
| (d) Records of material issued, transferred or returned to stock:  |   |
| (1) Showing quantities, unit prices, and accounts to be charged.   | 6 years.  |
| (2) Showing only quantities and accounts to be charged.  | Destroy at option if the basic information contained thereon is transferred to other records. |
| (e) Minor records and reports pertaining to materials and supplies not involving costs or final disposition, such as reports of unfilled requisitions, authorizations for additions to stock, and similar records; also store-room copies of purchase orders and price records, other copies being retained in files of purchasing department. | Destroy at option.  |

**1.8.4 Records of sales of scrap and materials and supplies:**

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| (a) Authorizations for sale of scrap and materials and supplies. | 3 years. |
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- (b) Contracts for sale of scrap and materials and supplies. 3 years.
- (c) Memoranda pertaining to sale of scrap and materials and supplies. Destroy at option.

## 1.8.5 Inventories of materials and supplies:

- (a) General inventories of materials and supplies on hand with records of adjustments of accounts required to bring stores records into agreement with physical inventories. Destroy at option after completion of annual audit by independent accountants.
- (b) Stock cards, inventory cards, and other detailed records pertaining to the taking of inventories if abstracted into records covered by (a). Destroy at option.
- (c) Minor inventories of materials and supplies on hand if not reflected in adjustments of accounts. Ditto.

IX. TAX

## 1.9.1 Tax records:

- (a) Copies of returns and schedules filed with taxing authorities, supporting work papers, records of appeals, tax bills and receipts for payment. (See Item 1.3.6(b) for vouchers evidencing disbursements):
  - (1) Federal income tax returns. 7 years after settlement.
  - (2) State income and property tax returns. 2 years after settlement.
  - (3) Sales and use taxes 3 years.
  - (4) Other taxes. 2 years after settlement.



- |   |   |
|---|---|
| (5) Agreements between associate companies for allocation of consolidated income taxes.     | 7 years after settlement.   |
| (6) Schedule of allocation of consolidating federal income taxes among associate companies. | Ditto.  |
| (b) Summaries of taxes paid.  | Destroy at option.  |
| (c) Filings with taxing authorities to qualify employee benefit plans.                      | 7 years after settlement of federal return or discontinuance of plan, whichever is later. |
| (d) Information returns and reports to taxing authorities.                                  | 3 years, or for the period of any extensions granted for audit.                           |

#### X. TREASURY

##### 1.10.1 Statements of funds and deposits:

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|---|--|
| (a) Summaries and periodic statements of cash balances on hand and with depositories.       | Destroy at option.   |
| (b) Statement of managers' and agents' cash balances on hand and with depositories.         | Destroy at option.   |
| (c) Authorizations for and statements of transfer of funds from one depository to another.  | Ditto.   |
| (d) Requisitions and receipts for funds furnished managers, agents, and others.             | Destroy at option after funds have been returned or accounted for. |
| (e) Records of fidelity bonds of employees and others responsible for funds of the utility. | Destroy at option after liability of bonding company has expired.  |
| (f) Reports and estimates of funds required for general and special purposes.               | Destroy at option.   |

1.10.2 Records of deposits with banks  
and others:

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| (a) Copies of bank deposit slips.  | Destroy at option after completion of annual audit by independent accountants. |
| (b) Advice of deposits made when information thereon is shown on other records which are retained.                           | Ditto.   |
| (c) Statements from depository showing the details of funds received, disbursed, transferred and balances on deposit.        | Ditto.   |
| (d) Bank reconciliation papers.  | Ditto.   |
| (e) Statements from banks of interest credits.   | Ditto.   |
| (f) Check stubs, registers, or other records of checks issued.   | 6 years.   |
| (g) Correspondence and memoranda relating to the stopping of payment of bank checks and to the issuance of duplicate checks. | 6 years or destroy at option after check is recovered.                         |

## 1.10.3 Records of receipts and disbursements:

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| (a) Daily or other periodic statements of receipts or disbursements of funds.                              | Destroy at option after completion of annual audit by independent accountants. |
| (b) Records or periodic statements of outstanding vouchers, checks, drafts, etc. issued and not presented. | Ditto.   |
| (c) Reports of associates showing working fund transactions and summaries thereof.                         | Ditto.   |

**XI. MISCELLANEOUS****1.11.1 Statistics and miscellaneous:**

- (a) Annual financial, operating and statistical reports regularly prepared in the course of business for internal administrative or operating purposes (and not used as the basis for entries to accounts of the companies concerned) to show the results of operations and the financial condition of the utility. 10 years after date of report.
- (b) Quarterly, monthly, or other periodic financial, operating and other statistical reports as above. 2 years after date of report.
- (c) All other statistical reports (not covered elsewhere in these regulations) prepared for internal administrative or operating purposes only and not used as the basis for entries to the accounts of the company. Destroy at option.

- 1.12.2 Budgets and other forecasts:** 3 years.  
(Prepared for internal administrative or operating purposes) of estimated future income, receipts and expenditures in connection with financing, construction and operations and acquisitions or disposals of properties or investments by the company and its associate companies, including revisions of such estimates and memoranda showing reasons for revisions; also records showing comparison of actual income and receipts and expenditures with estimates.

(c) Special or periodic reports  
on the following subjects:

- |  |                           |
|--|---------------------------|
| (1) Transactions with associated companies.  | 6 years.                  |
| (2) Budgets of expenditures.                 | 3 years.                  |
| (3) Accidents.                               | 6 years.                  |
| (4) Employees and wages.                     | 5 years.                  |
| (5) Loans to officers.                       | 3 years after fully paid. |
| (6) Purchases and sales, utility properties. | Life of corporation.      |
| (7) Plant changes - units added and retired. | Ditto.                    |

## 1.11.6 Other miscellaneous records:

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|--|--------------------------|
| (a) Copies of advertisements by the company in behalf of itself or any associate company in newspapers, magazines and other publications including records thereof. (Excluding advertising of product, appliances, employment opportunities, services, territory, routine notices and invitations for bids for securities, all of which may be destroyed at option). | 6 years.                 |
| (b) Indexes of forms used by company.  | Destroy when superseded. |

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## 1.11.3 Correspondence:

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| (a) Correspondence and attachments and indexes thereto relating to offices covered by other items of these regulations.                  | Retain for the period prescribed for the item to which it relates where necessary to a proper explanation of same. |
| (b) Correspondence, reports and attachments received from external sources and agencies and relating to items covered under this policy. | Ditto.   |
| (c) Stenographers' notebooks and dictaphone or other mechanical device records.  | Destroy at option.   |

## 1.11.4 Records of predecessors and former associates.

Retain until the records of utility plant acquired have been integrated with the utility's plant records and the original cost of the acquired plant is adequately supported by cost details and until it is ascertained that such records are not necessary to fulfillment of any unsatisfied regulatory requirement, such as: (a) approval and recording of accounting adjustments resulting from reclassification and original cost studies and acceptance of property acquisition journal entries, (b) cost, depreciation and amortization reserve determinations for licensed projects, (c) establishment of continuing plant inventory records or accounting evidence of the cost of long-lived property in the absence of such continuing plant inventory records.

## 1.11.5 Reports to federal and state regulatory commissions:

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|--|-------------------------------|
| (a) Annual financial, operating and statistical reports.                           | Life of corporation.          |
| (b) Monthly and quarterly reports of operating revenues, expenses, and statistics. | 2 years after date of report. |