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| Control of Management System Documented Information | | | |
|---|---|---|---|
| **Doc. Type** | ONR Procedure | | |
| **Doc. Ref.:** | ONR-MS-PROC-001 (formerly A4-PRD-001) | | |
| **Record Reference:** | 2020/59032 | **Revision No.:** | 3 |
| **Date Issued:** | September 2020 | **Next Review Date:** | September 2022 |
| **Prepared by:** | [redacted] | [redacted] | |
| **Approved by:** | [redacted] | [redacted] | |
| **Process Owner:** | [redacted] | [redacted] | |
| **Revision Commentary:** | • Appendix B added on the security classification of documented information. | | |

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# 1 INTRODUCTION

## 1.1 Purpose

1. Documented information is required by the ONR management system to ensure that processes and activities that deliver our desired aims and outcomes are defined, developed and deployed effectively.

2. The control of documented information is a key requirement of applicable international standards to which the ONR Management System complies with, e.g.:

> *"The management system shall be documented. The documentation of the management system shall be controlled, usable, readable, clearly identified and readily available at the point of use."* – IAEA GSR Part 2.

3. The purpose of this Procedure is to set out the process and requirements for the control of documented information, including the associated roles and responsibilities.

4. The purpose of the process is to ensure that our documented information is correct and remains fit for use. In the context of this process, documented information is considered to be all forms of documents which make up the ONR management system (see Figure 1). A full break-down of each of the different document types, along with the corresponding approving authority, is provided in **Appendix A**.

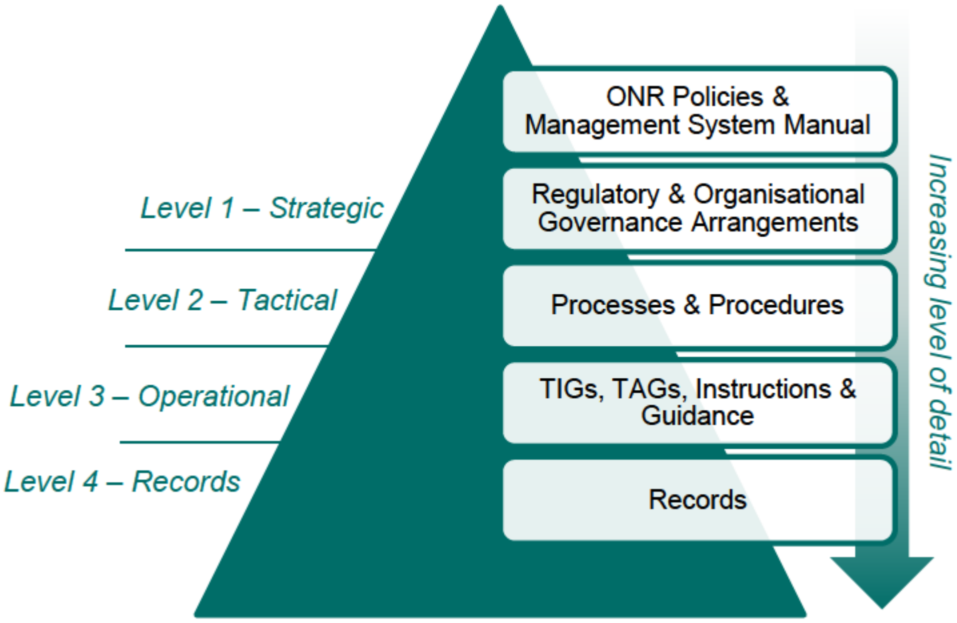
ONR Policies & Management System Manual
Level 1 – Strategic
Regulatory & Organisational Governance Arrangements
Level 2 – Tactical
Processes & Procedures
Level 3 – Operational
TIGs, TAGs, Instructions & Guidance
Level 4 – Records
Records
Increasing level of detail

**Figure 1 - ONR management system document hierarchy.**

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## 1.2 Scope & Applicability

5. The process for the control of documented information applies to all forms of documented information which make up the ONR management system.

6. The process for the control of documented i used by Process Owners to control other forms of documents which do not fall within the scope of the ONR management system, e.g.:

    a. Documents which represent outcomes such as regulatory reports; personnel records such as performance reviews; corporate reports; etc.;

    b. Correspondence between internal and/or external stakeholders; or,

    c. External documentation sent to, or sourced by the ONR e.g. internal standards, documents sent from duty-holders, etc.

7. The requirements documented in this Procedure **do not** apply retrospectively.

8. In the event that a deviation from this process is required, this must be agreed between the Director of the relevant Directorate(s) and the Head of Corporate Governance, acting on behalf of the Chief Executive. Deviations are to be agreed in writing in advance or, under exceptional circumstances, as soon as practicable after verbal agreement has been reached.

## 1.3 Definitions

**Table 1 - Table of Definitions**

| **Term** | **Description** |
|---|---|
| Author | Individuals who are identified by Process Owners as suitably experienced to author a document. |
| Document | Information and the medium on which it is contained. |
| Management system documented information | Documented information which is required to be controlled and maintained by the ONR as part of the ONR management system (see **Appendix A** for further information). |
| Management system | A set of interrelated or interacting elements of an organisation to establish policies and objectives, and processes to achieve those objectives. |
| Process Owner | The designated individual who has the authority and responsibility for a particular process. |
| Record | A document stating results achieved or providing evidence of activities performed. |

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## 2 PROCEDURE

9. This section sets out the key requirements relating to the control of ONR's management system documented information.

10. Although the principles of the process are valid in the broad sense to computer-based processes (i.e. automated workflow processes), such work control systems are developed, deployed and updated in accordance with their own governance arrangements.

### 2.1 Requirements for Process Owners

11. Process Owners are responsible for ensuring that their documented information is controlled, maintained and periodically reviewed. The periodicity of the review should be dependent on the risk associated with the document. As a guide, documents should not surpass **five years** without undergoing some form of content review.

12. Process Owners are responsible for ensuring that individuals who are tasked with preparing, reviewing, revising and/or approving documents are suitably competent and experienced to perform the tasks.

13. Process Owners are responsible for ensuring Authors are given access to the appropriate information on which to base their input or decisions.

14. Process Owners are responsible for determining whether or not updates to existing documents constitute as a minor or major update:

    a. Where changes are considered to be minor in nature (e.g.: correcting typos, addressing changes to position/role titles, providing additional clarification, etc.) then Process Owners can make and authorise the change themselves, but must inform the Management System Manager of changes/updates.

    b. Where the changes are considered to be major (e.g.: includes significant changes to the requirements in the document; a significant change to the roles and responsibilities; and/or, significant changes to key legislation which require an update to the requirements, etc.) Process Owners are responsible for ensuring that the document has gone through due process as it were a new document, and informing the Management System Manager of the reason/justification for the change.

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## 2.2 Requirements for Authors

15. Authors are responsible for ensuring that they're using the correct template when creating or updating a document, and ensure that they have correctly marked the appropriate security classification clearly on the document (see **Appendix B** for guidance on the classification of documented information).

16. When creating or updating a document, Authors are responsible for ensuring that they:

    a. Pitch the level of detail in the document at the 'competent user'.

    b. Liaise with users of the document during the preparation to ensure it meets their requirements.

    c. Ensure alignment with other business processes and take account of interactions with other documents.

    d. Consult with the Process Owner on significant requirements which may be introduced though the new document.

17. Authors are responsible for ensuring they allow sufficient time for Reviewers to check the document and feedback any comments.

18. Authors should notify Reviewers ahead of time in order to ensure their availability to conduct the review.

19. Authors are responsible for forwarding evidence that the document has undergone review to the Approver, in order for them to ensure due process has been complete.

## 2.3 Requirements for Reviewers

20. Reviewers are responsible for reviewing the document within the agreed timescales and feedback any comments for resolution to the Author.

21. Reviews should aim to keep their comments concise and focus on the technical aspects of the document and its overall readability.

## 2.4 Requirements for Approvers

22. Prior to authorising a document for publication, Approvers are responsible for checking the adequacy of the document in terms of the identified need, its fitness for publication, the associated business impact, and that Reviewers comments have been adequately addressed.

23. Once the document is approved, Approvers are responsible for forwarding confirmation to the Management System Manager of their approval via email along with a copy of the document, including details of any implementation actions.

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24. Approvers are responsible for any implementation actions associated with the document (i.e. training, communications, awareness briefings, etc.). Approvers may choose to delegate these actions to the Author, or another suitable individual.

### 2.5 Requirements for the Management System Manager

25. The Management System Manager is responsible for ensuring that the ONR management system platform (HOW2) is maintained and approved documents are made readily accessible.

26. The Management System Manager is responsible for tracking any outstanding implementation actions associated with new/updated documentation.

## 3 RECORDS

27. All records associated with the production of documents of the ONR management system are to be retained in CM9.

28. Records are to be retained for the periods specified in the ONR Business Classification Scheme and Disposal Schedule [Ref. 1].

## 4 REFERENCES

**Table 2 - References**

| Ref. | Title |
|---|---|
| 1 | ONR-ISEC-POL-002 - ONR Business Classification Scheme and Disposal Schedule (2019/ |
| 2 | ONR Scheme of Delegation (2018/105698) |

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## APPENDIX A – ONR MANAGEMENT SYSTEM DOCUMENT TYPES

29. Documented information within the ONR management system is based on a four-level structure (see Figure 1). The structure aims to promote clarity and avoid repetition by establishing the amount of information and level of detail appropriate to each type of document, and by using cross-references between specific documents at the different levels.

30. Examples of the different document types which make up the ONR management system are presented in Table 3 below. **NOTE:** For Level 1 arrangements refer to the ONR Scheme of Delegation [Ref. 2] for a complete list of delegated authorities relating to corporate policies and other such governance level arrangements.

**Table 3 – Examples of different document types within the ONR management system.**

| Level | Doc. Type | Purpose | Approving Authority |
|---|---|---|---|
| 1 | Policies | Policies establish the key principles, strategic objectives and values that govern decision making across the ONR.<br>A Policy commits ONR to a definite method or course of action and provides a basis for consistent decision making and resource allocation. | ONR Board |
| | Management System Manual (MSM) | The MSM describes the structure, implementation, assessment and continual improvement of the ONR management system, as the means by which ONR manages and delivers its regulatory and other activities within the scope of its purposes. | Chief Executive (CE) |
| | ONR Governance Arrangements | Examples of ONR governance arrangements include, but aren't limited to:<br>• ONR Strategy & Corporate Plan*<br>• ONR Scheme of Delegation*<br>• ONR Staff Handbook[1]<br>• Directorate Business Plans<br>• Divisional Manuals | Relevant Directors<br>* ONR Board |
| | Regulatory Governance Arrangements | Examples of regulatory governance arrangements include, but aren't limited to:<br>• ONR Licence Condition Handbook<br>• ONR Safety Assessment Principles (SAPs)<br>• ONR Security Assessment Principles (SyAPs) | Chief Nuclear Inspector (CNI) |

[1] The ONR Staff Handbook is maintained and controlled by Human Resources, and is accessed via the ONR Intranet Homepage. Whilst the ONR Staff Handbook adheres to the broad principles of this Procedure, it is controlled and accessed through different means to ONR Management System documented information (i.e. via HOW2).

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| Level | Doc. Type | Purpose | Approving Authority |
|---|---|---|---|
| 2 | Processes | A graphical process- flow map, setting out mandatory activities to be completed to deliver a desired outcome (e.g.: a regulatory decision, a disciplinary action, etc.). | Process Owners |
| | Procedures | Documented information which details the mandatory requirements relating to a particular business process.<br>Procedures may contain process-flow maps, or other methods to convey the requirements of the process.<br>Procedures will also contain the roles and responsibilities associated with the process and will generally have cross-ONR applicability. | Process Owners |
| 3 | Technical Inspection Guides (TIGs) | The purpose of the TIGs is to facilitate a consistent approach to ONR's site Licence Condition compliance inspection by providing guidance to inspectors on what Licensee's arrangements should include to meet the requirements of the ONR Licence Condition Handbook. | Professional Lead/ TIG Project Manager |
| | Technical Assessment Guides (TAGs) | TAGs are intended to give additional guidance to ONR Specialist Inspectors beyond that in the SAPs and SyAPs. | Professional Lead/ TAG Project Manager |
| | Instructions | Instructions contain mandatory requirements relating to the completion of a specific task/activity which is referenced in a parent Procedure or Process; whereby splitting the content into a supporting Instruction is done so to improve the overall readability of the parent document. | Process Owner |
| | Guides / Guidance Documents | Documents which are written in support of a parent document; providing the reader with guidance relating to a specific topic/ process/ activity. | Process Owner |
| 4 | Records | Records are retained in CM9 – ONR's electronic document and record management system (EDRMS). | Dependant on the nature of the record. |
| ONR Templates | | E.g. blank forms, checklists etc., used throughout all levels of the ONR management system in support of a parent process or activity. | Process Owner |

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## APPENDIX B – CLASSIFYING DOCUMENTS

31. Failing to classify a document correctly could lead to none or poor controls being used, increasing the number of people who have access or a breach in information security. Under the Government Security Classifications scheme, all government information is classified as ‘official’ information which must be placed in one of three tiers:

    a. TOP SECRET;

    b. SECRET; or

    c. OFFICIAL.

32. **TOP SECRET** - Exceptionally sensitive information assets that directly support (or threaten) the national security of the UK or allies and requires extremely high assurance of protection as a result. The unauthorised release of information marked as ‘TOP SECRET’ is liable to cause considerable loss of life, create international diplomatic incidents, or severely impact on-going intelligence operations.

33. **SECRET** - This marking is used for very sensitive information which requires protection against serious threats, and which could cause serious harm if information or assets are compromised - such as threats to life, compromising major crime investigations, or harming international relations. As of April 2014 the ‘SECRET’ tier may include some information that would previously be classified as ‘CONFIDENTIAL’.

34. **OFFICIAL** - All routine public sector business, operations and services is treated as ‘OFFICIAL’. Many departments and agencies operate exclusively at this level. A limited subset of OFFICIAL information, that would have more damaging consequences if it were lost, stolen, or published in the media, is classified as 'OFFICIAL-SENSITIVE'. As of April 2014 the ‘OFFICIAL’ classification tier generally equates to information previously marked as ‘Restricted and Protect’ although some information previously classified as ‘CONFIDENTIAL’ may also be considered as ‘OFFICIAL’.