

## **CORPORATE PROCEDURE**

### **HEALTH AND SAFETY RECORDS AND RECORD MANAGEMENT**

#### **1 Aims of the procedure**

The aim of this Corporate Procedure is to ensure that relevant health and safety documents are safeguarded and that such documents are confidential, legible, identifiable and traceable. Records shall be maintained in such a way that they are readily retrievable and protected against damage, deterioration or loss. Their retention times shall be established and recorded within this document.

#### **2 Responsibilities**

##### **2.1 Corporate Director**

The Corporate Director is responsible for ensuring that employees follow this Corporate Procedure.

##### **2.2 Heads of Service**

Heads of Service shall be responsible for the day-to-day implementation of this Corporate Procedure and will ensure the provision of the necessary resources to comply with the requirements of the policy and associated regulations.

##### **2.3 Governing Bodies of Schools Maintained by Education Authority**

There is a shared overall responsibility for health, safety and welfare between the LEA, governing body and headteacher.

##### **2.4 The Corporate Health and Safety Manager**

The Corporate Health and Safety Manager is responsible for updating and retaining master copies of the safety management system documents.

##### **2.5 Managers/ Team Leaders/Headteachers**

Managers/ Team Leaders/ Headteachers are responsible for ensuring the implementation of this Corporate Procedure within their workplaces to comply with management guidance.

## **2.6 Employees**

All employees are responsible for ensuring that the relevant sections of this Corporate Procedure are followed.

## **3 Health and Safety Records (typical inputs)**

The following list should not be considered as being exhaustive, but will provide guidance as to the type of documentation required so as to meet both our statutory obligations and the requirements of OHSAS 18001.

- Training records
- Inspection records
- Management system audit reports
- Consultations
- Accident/ incident report forms
- Minutes from meetings
- Health surveillance
- Personal Protective equipment record ( where appropriate)
- Emergency response drills (evacuations)
- Management reviews
- Hazard identification and risk control methods where appropriate (i.e. CDM)
- Drawings/ specifications where appropriate

## **4 Documentation on Site**

4.1 Where documentation is stored on site it shall be protected from damage and be easily found. Only use current documents.

4.2 Remove all superseded documents from circulation (including, where appropriate, those used by Sub-contractors) and mark them - “SUPERSEDED”.

(Training records may also be maintained on a database)

## **5 Non-conformance Record Files**

Copies of any non-conformance shall be kept for each directorate using a register data base until they are reviewed and addressed accordingly and shall be archived as appropriate in accordance with this Corporate Procedure.

## **6 Test Instrument Logbook**

Copies of test equipment calibration records shall be maintained by each Directorate where it is appropriate to do so through the retention of the original hard copy or by suitable electronic means.

## **7 Approved List of Contractors**

7.1 The Authority maintains an Approved List of Contractors, from which contractors are selected to form the select list of tenders for particular contracts. The health and safety checks of the individual contractor's are carried out on forms MOC/ALQA/11.04 and are kept with the contractors approved list application.

7.2 The Corporate Health and Safety Section maintains an electronic index of the health and safety checks completed together with a record of the result of the health and safety check.

## **8 Health and Safety Legal Requirements**

8.1 The Corporate Health and Safety Section of Neath Port Talbot County Borough Council (NPTCBC) shall identify any developments in health and safety legislation regulations or Approved Codes of Practice that apply to its undertakings. Any such changes that have an impact on these undertakings shall be identified and recorded on the Corporate Health and Safety web page and or the Corporate Procedure pertaining to that change of legislation and activity.

8.2 The Corporate Health and Safety Officers shall constantly track and review changes of legislation.

8.3 When there are significant changes in legislation that affect NPTCBC the Corporate Health and Safety Officers shall update the above sources of information as necessary. Any new legislation, or changes, shall be distributed as the final page of the Health and Safety Committee Briefing Notes or equivalent.

8.4 The Corporate Health and Safety Section uses Technical Indexes, Croners, The Safety and Health Practitioner and other trade media to ensure any legislative changes are identified.

## **9 Documentation format and issue status**

NPTCBC specific health and safety documents such as Corporate Procedures, Health and Safety Policy documents and forms are printed in a standardised format so as to ensure a consistent approach to safety management. These are identifiable by their unique reference number and issue status number which is altered when these are updated. The issue status of the safety management system documents that are changed will be incremented by 1 (one), for each change. These amendments are recorded on the Corporate Health and Safety website as and when the changes take place for a period of approximately 1 month.

## **10 Approval and Amendment**

Any suggested amendments to existing documents raised during meetings, consultations or generated through the use of the intranet system will be assessed for feasibility. Suitable proposals will be discussed with the Corporate Health and Safety Manager, Corporate Health and Safety Officers and other relevant persons as may be appropriate who will recommend the action to be taken.

## **11 Document issue**

11.1 The control of documents will be governed by the use of an issue control section at the front of the Safety Management System Manual. This will be used for the primary issue of Management System manual and is intended to be done as an electronic version only. Documentation used in support of this manual will again be controlled electronically by the Corporate Health and Safety Section of NPTCBC.

11.2 Management System documents issued to employees or others not on the document issue register shall not be maintained and should be marked - "UNMAINTAINED COPY" where possible or information given to the recipient that the copy is un-maintained.

## **12 Archiving**

12.1 Where possible, place documents and files in suitable storage cases, in numerical order, indicating the contents on the outside of the case and stacked, preferably on shelves or racking, in numerical sequence, in an orderly and safe manner.

12.2 As far as practicable maintain the environment of the archive at a level to prevent possible deterioration, damage or loss of documents. Do not place storage

containers or documents on a floor or in positions where damage may occur from ingress of rainwater or escape of water from services.

### **13 Document retention**

Documents are to be retained for the periods identified in the attached tables. When the period of retention for a document is passed, the redundant document is to be disposed of in an appropriate manner.

## Asbestos

<b>Title of document</b>	<b>Form number/ Name</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Assessments and reviews	To be recorded	Whilst relevant	Control of Asbestos at Work Regulations 2002 SI 2002 No 2675 Regulation 4 (7)	
Identifying plan	To be in writing	Whilst relevant	Control of Asbestos at Work Regulations 2002 SI 2002 No 2675 Regulation 4 (7)	
Risk assessment	To be recorded	Whilst relevant	Control of Asbestos at Work Regulations 2002 SI 2002 No 2675 Regulation 6 (4)	Copy of the significant findings of the risk assessment to be kept at the premises at which, and for such time as the work is being carried out.
Plan of work	To be in writing	Recommend retention for at least six months from completion of work.	Control of Asbestos at Work Regulations 2002 SI 2002 No 2675 Regulation 4 (7)	Copy to be kept at those premises, and for such time as the work to which the plan relates is being carried out.
Notification of work with asbestos	To be in writing	Recommend retention for at least six months from completion of work.	Control of Asbestos at Work Regulations 2002 SI 2002 No 2675 Regulation 8	
Employee information/ instruction/ training	None specified	Recommend add to personnel record.	Control of Asbestos at Work Regulations 2002 SI 2002 No 2675 Regulation 9	
Maintenance of control measures	To be a suitable record	At least five years from the date on which it was made	Control of Asbestos at Work Regulations 2002 SI 2002 No 2675 Regulation 12 (3)	See PPE/COSHH

<b>Title of document</b>	<b>Form number/ Name</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Arrangements to deal with accidents, incidents and emergencies	None specified	In the case of any accident, incident or emergency recommend for forty years from date of incident. Other wise whilst relevant.	Control of Asbestos at Work Regulations 2002 SI 2002 No 2675 Regulation 14	Information to be displayed in the workplace.
Record or suitable summary of air monitoring of employees exposure to asbestos.	A suitable record	Five years from date of monitoring or forty years if health record required.	Control of Asbestos at Work Regulations 2002 SI 2002 No 2675 Regulation 18	
Health records - where exposure exceeds the action level	To be in a suitable form	CY + forty years from date of last incident	Control of Asbestos at Work Regulations 2002 SI 2002 No 2675 Regulation 21	Original or copy may be kept – any employee is allowed access to the record if reasonable notice is given.
Medical examination certificates	None specified	Forty years from the date of issue	Control of Asbestos at Work Regulations 2002 SI 2002 No 2675 Regulation 21 (4)	If ceasing to trade copies of the records must be offered to the Health and Safety Executive.
Exemption certificate	To be in writing	Time expired or revoked + six years	Control of Asbestos at Work Regulations 2002 SI2002 No 2675 Regulation 25	Consider adding them to the health records
Licence	None specified	Whilst valid	Asbestos (Licensing) Regulations 1983 SI 1983 No 1649 Regulation 4 Asbestos (Licensing) (Amendments) Regulations SI 1998 No 3233 Regulation 2	

<b>Title of document</b>	<b>Form number/ Name</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Exemption certificates	To be in writing	Recommend time expired or revoked + forty years	Asbestos (Prohibitions) Regulations 1992 SI 1992 No 3067 Regulation 8 Asbestos (Licensing) Regulations 1983 SI 1983 No 1649 Regulation 7	This retention period matches those of the employee health records

### **Control of Substances Hazardous to Health (COSHH)**

<b>Title of document</b>	<b>Form number/ Name</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Risk Assessments	To be recorded if employing more than five persons	Until superseded or no longer valid	Control of Substances Hazardous to Health Regulations 2005 SI 2002 No 2677 Regulation 6	Some organisations retain for three to six years
Control measures (including ventilation)	A record or suitable summary Regulation 9 (4)	CY + six years	Control of Substances Hazardous to Health Regulations 2005 SI 2002 No 2677 Regulation 9	
Monitoring exposure in the workplace	None specified	General records CY + six personal health records CY + forty	Control of Substances Hazardous to Health Regulations 2005 SI 2002 No 2677 Regulation 10	If company ceases to trade records to be offered to the Health and Safety Executive
Health surveillance and records	To be kept in a suitable form	Forty years from the last date of entry	Control of Substances Hazardous to Health Regulations 2005 SI 2002 No 2677 Regulation 11	If company ceases to trade records to be offered to the Health and Safety Executive Records kept under the 1994 and 1999 Regulations and Amendments to be kept as if the 2002 Regulations had not been made. Regulation 18 (2)



Title of document	Form number/ Name	Retention period	Authority	Notes
Information, instruction and training	Where a Group 4 biological agent is involved then the instructions must be in writing	Until superseded	Control of Substances Hazardous to Health Regulations 2005 SI 2002 No 2677 Regulation 12	
Notification of fumigation	To be in writing and contain the particulars prescribed in Schedule 9 part 1	Recommend six years from date of notification	Control of Substances Hazardous to Health Regulations 2005 SI 2002 No 2677 Regulation 14	
Exemption certificate	None specified	Time expired or revoked + forty years	Control of Substances Hazardous to Health Regulations 2005 SI 2002 No 2677 Regulation 11	It may be prudent to place a copy with employee personal files
List of employees exposed to certain biological agent (s)	To be kept in a suitable form	Forty years from date of last entry made in it	Control of Substances Hazardous to Health Regulations 2005 SI 2002 No 2677 Schedule 3-4 (3)	Each employee shall have access to the information on the list which relates to him personally
Notification of use of biological agents and approval	To be in writing	Recommend whilst agent is in use + six years	Control of Substances Hazardous to Health Regulations 2005 SI 2002 No 2677 Schedule 3-5	
Notification of use or consignment of Group 4 biological agents	To be in writing	Recommend a minimum of three months from delivery of consignment.	Control of Substances Hazardous to Health Regulations 2005 SI 2002 No 2677 Schedule 3-6	

*(see also COSHH Approved Codes of Practice)*

**Note:**

SI 2002 No 2677 re-enacts the Control of Substances Hazardous to Health Regulations 1999. Any record or register required to be kept under the 1999 Regulations shall be kept for the same manner and for the same period as if the 2002 Regulations had not been made, unless the Health and Safety Executive approve otherwise.

## Fire

<b>Title of document</b>	<b>Form number/ Name</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Notice to the fire brigade proposing works to supply water	To be in writing	Six years after date of notice	Fire Services Act 1947 Chapter 41 Section 16	
Application for a fire certificate	To be in the prescribed form	Retain accompanying plans and drawings with the fire certificate	Fire Services Act 1971 Chapter 40 Section 5	
Exemption from requiring a fire certificate	To be in writing	Whilst valid	Fire Services Act 1971 Chapter 40 Section 5A (7) (8)	
Fire certificate	To be in writing as prescribed in Section 6	Until superseded or revoked	Fire Services Act 1971 Chapter 40 Section 6	Certificate or copy to be kept on premises
Fire drills/ evacuations	None specified	CY + two	Fire Precautions Act 1971 Chapter 40 Section 6 Residential Care Homes Regulations 1984 SI 1984 No 1345 Nursing Homes and Mental Nursing Home Regulations 1984	Contents to include date, evacuation time, number of participants, faults, remedies
Fire precautions training records	None specified	CY + three	Fire Precautions Act 1971 Chapter 40 Section 6 (2) (c) Residential Care Homes Regulations 1984 SI 1984 No 1345 Nursing Homes and Mental Nursing Home Regulations 1984	
Fire alarm tests/ defects/ remedial action	None specified	CY + two	Fire Precautions Act 1971 Section 6 Residential Care Homes Regulations 1984 SI 1984 No 1345 Nursing Homes and Mental Nursing Home Regulations 1984	Frequency of testing as specified in fire certificate. See also BS 5839: Part1 :1988

<b>Title of document</b>	<b>Form number/ Name</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Procedures to be followed in the event of fire	None specified	Until superseded	Fire Precautions Act 1971 Chapter 40 Section 6 Residential Care Homes Regulations 1984 SI 1984 No 1345 Nursing Homes and Mental Nursing Home Regulations 1984	
Improvement notices	To be in writing	Six years from date of notice	Fire Precautions Act 1971 Chapter 40 Section 9D	
Prohibition notice	To be in writing	Whilst valid + six years	Fire Precautions Act 1971 Chapter 40 Section 10	
Application for fire certificate for special premises	To contain the particulars as prescribed in Schedule 2	Until receipt of fire certificate	Fire Certificates (Special Premises) Regulations 1976 SI 1976 No 2003 Regulation 4	
Fire certificates for special premises	The contents to be as prescribed in Regulation 5	Until superseded or revoked	Fire Certificates (Special Premises) Regulations 1976 SI 1976 No 2003 Regulation 5	The certificate or copy to be kept on the premises for inspection
Notice of a fire certificate	To be in writing	Until superseded	Fire Certificates (Special Premises) Regulations 1976 SI 1976 No 2003 Regulations 5 (6)	A notice is to be posted so as to be easily seen indicating where the certificate or a copy may be seen
Notice of material change to fire certificate	To be in writing	For as long as the certificate it refers to is relevant	Fire Certificates (Special Premises) Regulations 1976 SI 1976 No 2003 Regulations 6, 7	
Certificate of Exemption	To be in writing	Recommend time expired or revoked + six years	Fire Certificates (Special Premises) Regulations 1976 SI 1976 No 2003 Regulation 15	

<b>Title of document</b>	<b>Form number/ Name</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Safety certificate for stands at sports grounds	To be in writing as prescribed in section 27	Whilst relevant	Fire Safety and Safety of Places of Sport Act 1987 Chapter 27 Section 26	May be surrendered to the local authority
Notice of alterations or extensions to a regulated stand	To be in writing	Until work is completed and approved	Fire Safety and Safety of Places of Sport Act 1987 Chapter 27 Section 32	
Plan of station premises	None specified	Until superseded	Fire Precautions (Sub-surface Railway Stations) Regulations 1989 SI 1989 No 1401 Regulation 5 (8)	To be kept in or affixed to a part of the premises that is accessible to the fire brigade
Records of maintenance work, instruction and training	None specified	Three years from the date made	Fire Precautions (Sub-surface Railway Stations) Regulations 1989 SI 1989 No 1401 Regulation 11	This includes records required under Regulations 4 (4) 5 (6) 6 (7) 9
Application for a fire certificate	As specified in Schedule 1 or a form to the like effect	Until fire certificate is granted or refused	Fire Precautions (Application for Certificate) Regulations 1989 SI 1989 No 77 Regulation 2	
Fire certificate	FP1 (Rev)	Until superseded	The Fire Precautions (Factories, Offices, Shops and Railways Premises) Order 1989 SI 1989 No 76 Regulation 4 Fire Precautions Act 1971 SI 1971 Chapter 40 Section 3	A copy must be kept on the premises
Examination of detection and fire fighting equipment	None specified	Three years from date of last entry	Construction (Health, Safety and Welfare) Regulations 1996 SI 1996 No 1592 Regulation 21 (as amended by SI 1999 No 1877)	

## First Aid

Title of document	Form number/ Name	Retention period	Authority	Notes
Record of accidents	BI 510 "Accident Book" New edition to meet the requirements of the DPA 1998 to be used from 1/1/04	Three years after date of last entry – instructions in BI 510	Health and Safety (First Aid) Regulations 1981 SI 1981 No 917 Social Security (Claims and Payments) Regulations 1979 Regulation 24 Social Security Administration Act 1992	Some organisations are retaining internal accident reports for a minimum of twelve years in case of litigation. Some organisations are attaching the internal accident report to the employees health file and retaining for forty years. <b>NB</b> the Data Protection Act 1998 applies to accident books. As from 1 January 2004 there should be limited access to completed accident forms or pages within an accident report book.

## Information for Employees

Title of document	Form number/ Name	Retention period	Authority	Notes
Poster/ written notices/ leaflets	To be in writing SI 1995 No. 2923 Regulation 2	Until superseded	Factories Act 1961 Chapter 34 Health and Safety Information for Employees Regulations 1989 SI 1989 No 682 Regulation 3 The Health and Safety Information to Employees (Modifications and Repeals) Regulations 1995 No 2923 Regulation 2	
Changes to health and safety leaflet issued to employees	To be in writing	Until superseded	Health and Safety Information for Employees Regulations 1989 SI 1989 No 682 Regulation 5 (5)	An exemption certificate in writing may be issued by the HSE. Regulation 6
Risk assessment of new or expectant mothers	None specified	Until no longer relevant (consider adding it to health record)	Management of Health and Safety at Work Regulations 1999 SI 1999 No 3242 Regulation 3	
Appointment of competent person	To be in writing	Until superseded	Management of Health and Safety at Work Regulations 1999 SI 1999 No 3242 Regulation 7	
Notification by new or expectant mothers	None specified	Until no longer relevant (consider adding it to health record)	Management of Health and Safety at Work Regulations 1999 SI 1999 No 3242 Regulation 18	
Information from consignors	None specified	CY + one	Carriage of Dangerous Goods by Road Regulations 1996 SI 1996 No 2095 Regulations 13 to 17 Carriage of Dangerous Goods by Rail Regulations 1996 SI 1996 No 2089 Regulation 11	

<b>Title of document</b>	<b>Form number/ Name</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Information to operators (transportation documentation) (carriage information)	None specified	Three months after the date of the journey. The emergency information may be disposed of the day after the load has been delivered.	Carriage of Dangerous Goods by Road Regulations 1996 SI 1996 No 2095 Regulations 13 to 17 Carriage of Dangerous Goods by Rail Regulations 1996 SI 1996 No 2089 Regulation 12	To be kept with the “load” information relating to other possible loads to be kept securely locked away
Information, instruction and training for train crews and other persons connected with the carriage of dangerous goods	A record to be kept Regulations 15 (2) (4)	To be added to the personnel training records.	Carriage of Dangerous Goods by Rail Regulations 1996 SI 1996 No 2089 Regulation 15	Train operator and infrastructure controller to keep copies. Copies to be made available to employees concerned.
Workstation information	None specified	Until superseded	The Health and Safety (Display Screen Equipment) Regulations 1992 SI 1992 No 2792 Regulation 7	
Manual handling assessment	None specified	Until superseded	Manual Handling Operations Regulations 1992 SI 1992 No 2793 Regulation 4	Although the Regulations do not specify a record is to be kept, it is accepted practice to do so in writing.
Permits to work	None specified	Six months	Health and Safety at Work etc Act 1974 Section 2 Factories Act 1961 Sections 30, 31	The offshore industry keep such permits for twelve months
Waste transfer note	To contain the information as prescribed in Regulation 2	Two years from date of transfer of controlled waste Regulation 3	Environmental Protection (Duty of Care) Regulations 1991 SI 1991 No 2839 Regulation 2	

<b>Title of document</b>	<b>Form number/ Name</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Evacuation information	None specified	Until superseded	Fire Prevention Act 1997 Chapter 40 Section 6	
List of first aiders	None specified	Until superseded	Health and Safety (First Aid) Regulations 1981 Regulation 4	
Lead – assessments, maintenance. air monitoring etc	None specified	CY + six years	Control of Lead at Work Regulations 2002 SI 2002 No 2676 Regulation 9	Should be available for inspection by employees
Lead – information/ training/ instruction	None specified	Recommend CY + six years	Control of Lead at Work Regulations 2002 SI 2002 No 2676 Regulation 11	
Temporary workers	None specified	Until superseded	Management of Health and Safety at Work Regulations 1999 SI 1999 No 3242 Regulation 3, 15	
Electrical equipment technical documentation	None specified	Ten years after manufacture of that particular equipment has ceased	Electrical Equipment (Safety) Regulations 1994 SI 1994 No 3260 Regulation 11	
Employees opt-out	To be in writing	Recommend two years after date of termination of agreement of Regulation 9	Working Time Regulations 1998 SI 1998 No 1833 Regulation 5	
Record of time worked	None specified	Two years after date of entry	Working Time Regulations 1998 SI 1998 No 1833 Regulation 5 (4) 9 (b)	
Employers liability insurance (as per sections 722 and 723 of the Companies Act 1985)	Current copy in paper format but past copies may be stored on film or electronically	Forty years from commencement or renewal date	The Employers' Liability (Compulsory Insurance) Regulations 1998 SI 1998 No 2573 Regulations 4 (4) (5)	



<b>Title of document</b>	<b>Form number/ Name</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Noise – information and training	None specified	Until superseded	The Noise at Work Regulations 1989 SI 1989 No 1790 Regulation 11	
Relevant information and training in connection with safety signs	None specified	Add to employees training record	Health and Safety (Safety Signs and Signals) Regulations 1996 SI 1996 No 341 Regulation 5	

### **Lead**

<b>Title of document</b>	<b>Form number/ Name</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Risk assessment	To be recorded if more than five persons are employed	Until superseded	The Control of Lead at Work Regulations 2002 SI 2002 No 2676 Regulation 5	
Record of examination and tests and subsequent repairs	None specified	Five years from date on which record was made	The Control of Lead at Work Regulations 2002 SI 2002 No 2676 Regulation 8	May be a suitable summary
Monitoring of lead in air	A suitable record or summary	Five years from date of last entry made in it	The Control of Lead at Work Regulations 2002 SI 2002 No 2676 Regulation 9	An employee is allowed access to his personal monitoring record. If ceasing to trade the HSE must be notified and records made available to them.

<b>Title of document</b>	<b>Form number/ Name</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Health record	To be kept in a suitable form	At least forty years from the date of the last entry	The Control of Lead at Work Regulations 2002 SI 2002 No 2676 Regulation 10	An employee is allowed access to his personal monitoring record. If ceasing to trade the HSE must be notified and records made available to them
Information, instruction and training	No records specified but recommend records are kept	Recommend at least six years after employee leaves	The Control of Lead at Work Regulations 2002 SI 2002 No 2676 Regulation 11	
Arrangements to deal with accidents, incidents and emergencies	To be displayed if appropriate	Until superseded	The Control of Lead at Work Regulations 2002 SI 2002 No 2676 Regulation 12	
Exemption certificates	None specified	Recommend time expired or revoked + minimum of six years	The Control of Lead at Work Regulations 2002 SI 2002 No 2676 Regulation 13	Consider retaining copy with health records.

### **Lifting Operations and Equipment**

<b>Title of document</b>	<b>Form number/ Name</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Thorough examinations	To be in writing	For as long as the equipment is operated	The Lifting Operations and Lifting Equipment Regulations 1998 SI 1998 No 2307 Regulation 9 (4)	Current report to accompany equipment if sold on
EC declarations	None specified	For as long as the equipment is operated	The Lifting Operations and Lifting Equipment Regulations 1998 SI 1998 No 2307 Regulation 11 (1)	

<b>Title of document</b>	<b>Form number/ Name</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Thorough examination and inspection (other than an accessory)	None specified	For as long as the equipment is operated	The Lifting Operations and Lifting Equipment Regulations 1998 SI 1998 No 2307 Regulation 11 (2)(a)(i)	
Thorough examination and inspection (accessory for lifting)	None specified	Two years from date of report	The Lifting Operations and Lifting Equipment Regulations 1998 SI 1998 No 2307 Regulation 11 (2)(a)(ii)	
Thorough examination and inspection (installation or after assemble at new site/location)	None specified	For as long as the equipment is operated	The Lifting Operations and Lifting Equipment Regulations 1998 SI 1998 No 2307 Regulation 11 (2)(a)(iii)	
Thorough examination and inspection ( 6/12 monthly inspections, Regulation 9 (3) )	None specified	Until superseded or the expiration of two years – whichever is later	The Lifting Operations and Lifting Equipment Regulations 1998 SI 1998 No 2307 Regulation 11 (2)(a)(iv)	
Records made under Regulation 10 (2) T	None specified	Until superseded	The Lifting Operations and Lifting Equipment Regulations 1998 SI 1998 No 2307 Regulation 11 (2) (b)	

## Major accident Hazards (COMAH Sites)

<b>Title of document</b>	<b>Form number/ Name</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Major accident prevention policy	To be in writing	Until superseded	The Control of Major Accidents Hazards Regulations 1999 SI 1999 No 743 Regulation 5 Schedule 2	
Notification of start of operation	None specified	Recommend six years from date operation ceases	The Control of Major Accidents Hazards Regulations 1999 SI 1999 No 743 Regulation 6 (2)	
Notification of increase in quantity	None specified	Recommend whilst valid + six years	The Control of Major Accidents Hazards Regulations 1999 SI 1999 No 743 Regulation 6 (4)	
HSE safety report	None specified	Until superseded	The Control of Major Accidents Hazards Regulations 1999 SI 1999 No 743 Regulation 7, 8	Review every five years or when significant changes
On-site emergency plan	None specified	Until superseded	The Control of Major Accidents Hazards Regulations 1999 SI 1999 No 743 Regulation 9 (1)	
Off-site emergency plan	None specified	Until superseded	The Control of Major Accidents Hazards Regulations 1999 SI 1999 No 743 Regulation 10 (1)	Review period not to exceed three years
Exemption from previous off-site plan	None specified	Until superseded	The Control of Major Accidents Hazards Regulations 1999 SI 1999 No 743 Regulation 10 (7)	
Information to the public	None specified	Until superseded	The Control of Major Accidents Hazards Regulations 1999 SI 1999 No 743 Regulation 14	Review period not to exceed three years – re-issue at intervals not exceeding five years
Notification of accidents	None specified	Recommend a minimum of twelve years. Forty years if placed on an employees health file	The Control of Major Accidents Hazards Regulations 1999 SI 1999 No 743 Regulation 15	

<b>Title of document</b>	<b>Form number/ Name</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Exchange of information	None specified	Until superseded	The Control of Major Accidents Hazards Regulations 1999 SI 1999 No 743 Regulation 16	
Notice of prohibition	None specified	Until revoked or time expired	The Control of Major Accidents Hazards Regulations 1999 SI 1999 No 743 Regulation 19	
Twelve monthly on-site inspection and report	None specified	Until superseded	The Control of Major Accidents Hazards Regulations 1999 SI 1999 No 743 Regulation 19	
Register of information	None specified	Five years from the date of entry unless still relevant	The Control of Major Accidents Hazards Regulations 1999 SI 1999 No 743 Schedule 8	
Prescribed forms	As laid down in the Regulations	Until superseded or no longer relevant	The Planning (Control of Major Accidents Hazards) Regulations 1999 SI 1999 No 981 Schedule 2	

### **Personal Protective Equipment**

<b>Title of document</b>	<b>Form number/ Name</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Risk assessment	None specified	Until superseded	Personal Protective Equipment at Work Regulations 1992 SI 1992 No 2966 Regulation 6	Although not specified it is common practice to make such an assessment in writing (see also the guidance on the Regulations)

<b>Title of document</b>	<b>Form number/ Name</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Record of issue	None specified	Life of equipment	Personal Protective Equipment at Work Guidance on Regulations 1992	Although not specified it is common practice to make a record in writing
Record of maintenance and examination	None specified	Recommend five years from date of action	Personal Protective Equipment at Work Regulations 1992 SI 1992 No 2966 Regulation 7	Although not specified it is common practice to make a record in writing (see also the guidance on the Regulations)
Record of training	None specified	Recommend minimum three years from date of action or add to employees personnel file	Personal Protective Equipment at Work Regulations 1992 SI 1992 No 2966 Regulation 9	Although not specified it is common practice to make a record in writing (see also the guidance on the Regulations)
Application for and issue of a EC type- examination	To contain the information prescribed in Article 10 (3) and be in the form prescribed in Annex VI	Ten years following the placing of the PPE on the market	Personal Protective Equipment (EC Directive) Regulations 1992 SI 1992 No 3139 Regulation 4 (Article 10) Personal Protective Equipment Regulations SI 2002 No 1144 Schedule 7- 5	
EC quality control system	None specified	To be kept up to date	Personal Protective Equipment (EC Directive) Regulations 1992 SI 1992 No 3139 Regulation 4 (Article 11)	
Information supplied by the manufacturers	To contain the information prescribed in SI 2002 No 1144 Schedule 2-1, 4	Ten years from when production of article ceases	Personal Protective Equipment (EC Directive) Regulations 1992 SI 1992 No 3139 Annex 11-1.4 Personal Protective Equipment Regulations SI 2002 No 1144 Schedule 2- 1.4	

## RIDDOR

<b>Title of document</b>	<b>Form number/ Name</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Initial notification (other than a disease)	F2508 (Revised) to contain the particulars in Schedule 4 Part 1	At least three years from the date it was made. Regulation 7	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 SI 1995 No 3163 Regulation 3	May be a photocopy Regulation 84
Notice of death	To be in writing	At least three years from the date it was made. Regulation 7	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 SI 1995 No 3163 Regulation 4	
Notification of a disease	F2508A To contain the particulars in Schedule 4 Part II	At least three years from the date it was made. Regulation 7	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 SI 1995 No 3163 Regulation 5	
Flammable gas incidents and dangerous gas fittings	F2508G	At least three years from the date it was made. Regulation 7	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 SI 1995 No 3163 Regulation 6	
Certificate of exemption	To be in writing	Recommend time expired or revoked + six years	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 SI 1995 No 3163 Regulation 13	
Accident not at a level crossing or a case of disease	F2508RA + F2508 A	At least three years from the date it was made. Regulation 7	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 SI 1995 No 3163 Schedule 2	
Accident at a level crossing	F2508 RB	At least three years from the date it was made. Regulation 7	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 SI 1995 No 3163 Schedule 2	
Monthly report of dangerous occurrences on the railway system	F2508RC	At least three years from the date it was made. Regulation 7	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 SI 1995 No 3163 Schedule 2	

### Safe System of Work

Title of document	Form number/ Name	Retention period	Authority	Notes
Certificate	None specified	Recommend six months after completion of work if there has been no incident. Following an incident a minimum of six years is recommended	Various	

### Safety Representatives

Title of document	Form number/ Name	Retention period	Authority	Notes
Employer notification of appointment	To be in writing	Twelve months after written notice of termination or resignation received	Safety Representatives and Safety Committee Regulations 1977 SI 1977 No 500 Regulation 3 as modified by Management of Health and Safety at Work Regulations 1999	
Inspection of the workplace	To be in writing	Until superseded + six years	Safety Representatives and Safety Committee Regulations 1977 SI 1977 No 500 Regulation 5	
Request for a safety committee	To be in writing	The life of the safety committee	Safety Representatives and Safety Committee Regulations 1977 SI 1977 No 500 Regulation 9	



## Training

Title of document	Form number/ Name	Retention period	Authority	Notes
Vocational training certificate in respect of dangerous goods	None specified	Valid for five years from date of issue (may be extended)	The Carriage of Dangerous Goods by Road (Driver Training) Regulations 1996 SI 1996 No 2094 Regulation 4	To be kept by driver for inspection on journey. Operators to keep copies of certificates held by their drivers Regulation 6
Certificates of approval	To be in writing	Until superseded	The Carriage of Dangerous Goods (Classification, Packaging and Labelling) and use of Transportable Pressure Receptacles Regulations 1996 SI 1996 No 2092 Regulation 15	
General safety training records	None specified	Recommend six years from date of training	Health and Safety at Work, etc Act 1974 Chapter 37	Not implicit but implied
Food hygiene courses for business	None specified	Whilst valid + three years	Good business practice	

## Working Time Regulations

Title of document	Form number/ Name	Retention period	Authority	Notes
Employee opt-out	To be in writing	Recommend two years after date of termination of agreement	Working Time Regulations 1998 SI 1998 No 1833 Regulation 5	Regulation 9
Record of time worked	None specified	Two years after date on which they were made	Working Time Regulations 1998 SI 1998 No 1833 Regulation 5 (4) and Regulation 9 (b)	

<b>Title of document</b>	<b>Form number/ Name</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Improvement notices	None specified	Recommend six years after date of notice	Working Time (Amendment) Regulations 2003 SI 2003 N0 1684. Regulation 3	
Improvement notice	None specified	Recommend six years after prohibition notice ceases to be valid	Working Time (Amendment) Regulations 2003 SI 2003 N0 1684. Regulation 4	
Opt-in notice for Sunday working (protected shop workers and betting workers)	To be in writing, signed and dated	Until superseded	Employment Rights Act 1996 Chapter 18 Section 36	
Opt-out notice for Sunday working (protected shop workers and betting workers)	To be in writing, signed and dated	Until superseded	Employment Rights Act 1996 Chapter 18 Section 40	
Explanatory statement (opt-out notice)	In the form as prescribed in Section 42	Whilst valid	Employment Rights Act 1996 Chapter 18 Section 42	
Driver's hours	Tachograph	Twelve months	Transport Act 1968 SI 1968 Chapter 73 Sections 96, 98, 99, 103 EC Regulation 3821/85	EC or AETR rules may also apply
Driver's records book	As specified in Regulation 5 and Schedule 2	Twelve months from date of return of book to employer or in the case of owner driver twelve months from completion of book or it ceased to be used	Transport Act 1968 SI 1968 Chapter 73 Sections 96, 98, 99, 103, Drivers' Hours (Goods Vehicles) (Keeping of Record) Regulations 1987 SI 1987 No 1421 Regulation 11 Preservation of driver's record books	Driver to retain book for fourteen days after all weekly record sheets have been used. Owner drivers are to detach completed weekly sheets and send to address specified within seven days
Child care	To be in writing includes electronic communication	Recommend whilst valid + six years	Flexible working (Eligibility, Complaints and Remedies) Regulations 2002 SI 2002 No 3236 Regulation 4	

## Young Persons

<b>Title of document</b>	<b>Form number/ Name</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Transference of a young person	None specified	Until superseded	Employment Medical Advisory Service Act 1972 Chapter 28 Section 5	Notification to the enforcing authority
Young persons/ children – risk assessments	None specified	Until superseded	The Management of Health and Safety at Work Regulations 1999 SI 1999 No 3242 Regulation 10	To be given to employees and parents/ guardians/ schools BEFORE employment
Prohibition/ restriction notice on a child working	To be in writing	Recommend time expired or revoked + six years	Education Act 1996 Chapter 56	
Written particulars of employment	None specified	Until superseded	Employment Rights act 1996 Chapter 18	To be given or displayed
Certificate of fitness	None specified	Until superseded	The Working Time Regulations 1998 Regulation 7 The Factories Act 1961 SI 1961 Chapter 34 Section 119	
Licence	To be in writing as prescribed in Regulation 6	Whilst valid	Adventure Activities Licensing Regulations 1996 SI 1996 No 772 Regulations 3, 6	To be returned to authority if requested
Application for a licence	To be in a manner approved by the authority	Until receipt of licence	Adventure Activities Licensing Regulations 1996 SI 1996 No 772 Regulation 4	
Register of licences	In a form considered appropriate by the licensing authority	Recommend whilst valid + six years	Adventure Activities Licensing Regulations 1996 SI 1996 No 772 Regulation 11	To be available for public inspection free of charge with copies available for free or for a reasonable charge