



DERBYSHIRE COUNTY COUNCIL

Health and Safety Retention Schedule



Version History				
Version	Date	Detail	Author	Responsible Officer
1.00	2010	First Version	Jackie Griffiths	Jackie Griffiths
2.00	2013	Reformatted	David Jenkins	David Jenkins
3.00	2014	Reviewed	John Davis	John Davis (Senior Health and Safety Consultant)
4.00	2016	Reviewed	John Davis	John Davis (Senior Health and Safety Consultant)
5.00	2017	Reviewed and re-formatted	Jackie Griffiths	Jackie Griffiths (Senior Health and Safety Consultant)
6.00	2017	Document layout and content reformatted	Jackie Griffiths	Jackie Griffiths (Senior Health and Safety Consultant)
7.00	2018	Document layout and content reformatted. Revision of all lines to add example document types. HS 10 extended to 25 years. HS 11 to exclude asbestos and radiation. New retention periods added: HS 13, 14, 15, 16.	Jackie Griffiths Mark Smith	Jackie Griffiths (Senior Health and Safety Consultant)
7.01	12/03/2019	“At a glance” section: interview notes changed from 6 months to 12 months	Mark Smith	
8.00	19/03/2020	HS 08 (Occupational Health) removed – see HR retention schedule	Jackie Griffiths Mark Smith	Jerry Sanderson (Head of Health, Safety and Wellbeing)

Standard Operating Procedure

Some records do not need to be kept at all. Standard Operating Procedures (SOP) define all records which staff may routinely destroy in the normal course of business. However, the retention/disposal schedule must still contain references and instructions concerning them.

SOP usually applies to information that is duplicated, unimportant, or of only short term transactional or operational value.

Examples include:

- 'with compliments' slips
- catalogues and trade journals
- reports from third parties circulated for information
- journals of professional bodies or organisations
- telephone message slips
- non-acceptance of invitations
- trivial electronic mail messages or notes that are not related to Authority business
- requests for standard information such as location maps, plans, contact details, opening hours or promotional material
- out-of-date distribution lists/staff directories
- minutes circulated for information
- Diaries (where notebooks where content is transferred into other electronic systems) not required as evidence

(Note, this is not an exhaustive list)

Duplicated and superseded material such as official stationery, manuals, drafts, forms, address books and reference copies of DCC annual reports may be destroyed under SOP. Electronic copies of documents where a hard copy has been printed and filed, and thermal paper facsimiles after making and filing a photocopy, are also covered by SOP and may be destroyed

SOP should not be applied to records or information that can be used as evidence– to prove that something happened or that a decision was reached. Examples include: staff meeting minutes, public consultation papers or any record that has made a significant contribution to the discussion of the business being conducted should be captured as a record and have a retention period assigned.

Glossary of Terms:

Closure: when a record ceases to be 'current' – this can be the when a set of minutes are formally agreed, or when a Help Desk incident is formally closed. Many retention periods are triggered after the 'closure' of a record

Disposal: the processes associated with the end of a records lifecycle, they will typically include destruction of the records or transfer of the records to Derbyshire Record Office for permanent preservation

Functional Description: the description of the function that the record serves (i.e. the functional description of a set of minutes is 'the process of preparing business...')

Permanent: Retain the record permanently and transfer to Derbyshire Record Office

Record: the recorded evidence about an activity

Retention Action: the action regarding the retention of a record, these will be triggered by a particular event (i.e. the closure of a record)

Additional Information:

Records Disposal Policy and Procedures:

www.derbyshire.gov.uk/confidentialwaste

Additional Retention Schedules (including HR, Management and Administration, Property, Procurement):

www.derbyshire.gov.uk/retentionschedules

For further information about the contents of this retention schedule, or for records management generally contact Records Management on records.management@derbyshire.gov.uk or on ext. 39203

At a glance guide to other retention periods

Record Type	Retention Period	Further Information
Finance Records	6 years (from the end of the current financial year)	Finance Retention Schedule
Operational meeting minutes	3 years (from agreement of minutes)	Management and Administration Retention Schedule
Strategic meeting minutes	Permanent (transfer to Derbyshire Record Office)	Management and Administration Retention Schedule
Statistics	6 years	Management and Administration Retention Schedule
Contract Records	6 years (ordinary contract, 12 years (contract under seal) from end of terms of contract)	Procurement Retention Schedule
Staff Records	7 years from end of employment or 25 years from end of employment (if working in a social care or risk group)	Human Resources Retention Schedule
Cabinet reports	Permanent	Management and Administration Retention Schedule
Interview documents	12 months (for unsuccessful candidates), retain on personnel file for successful candidates	Human Resources Retention Schedule
Majority of health and safety records	7 years (with the exception of asbestos and radiation records)	Health and Safety Retention Guidelines
Policies and associated procedures	Permanent (transfer to Derbyshire Record Office)	Management and Administration Retention Schedule

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
HEALTH AND SAFETY					
HS 01	The process of inspecting equipment to ensure it is safe	Destroy 7 years from the destruction/ disposal of the equipment	Equipment inspection records: <ul style="list-style-type: none"> Supplies of Personal Protective Equipment Personal attack alarms Work at height equipment (e.g. ladders) Lifting equipment Portable appliances 	Personal Protective Equipment at Work Regulations, the Work at Height Regulations, the Lifting Operations and Lifting Equipment Regulations	Shared drives, Red Box H&S File, EDM (indexed by Unique Property Reference Number or UPRN)
HS 02	The process of carrying out monitoring to ensure processes are safe	Destroy 7 years from last action	Workplace Health and Safety inspections Vibration monitoring results Temperature Control Quality inspection checklists	Common Practice, The Safety Representatives and Safety Committee Regulations, The Control of Vibration at Work Regulations	EDM (indexed by UPRN) and Red Box H&S file If stored on an employee file or occupational health case file, see HR retention schedule

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
HS 03	Management of known or potential contact with asbestos or hazardous substances	Destroy after 40 years from date of last amendment	Property Asbestos Files, permits to work, asbestos surveys Asbestos incident management files COSHH incident management (for routine administration, see HS 11)	The Control of Asbestos Regulations	EDRM (indexed by UPRN), Red Box asbestos folder Employee file (see HR retention schedule)
HS 04	Management of known or potential contact with radiation	Destroy 50 years after last amendment and 75 after employee's date of birth (satisfy both requirements)	Radon Monitoring reports and readings; records relating to other ionising sources	The Ionising Radiations Regulations	EDRM (indexed by UPRN) and Red Box H&S file
HS 05	The process of ensuring safe systems of work	Destroy 7 years after process ceases	Guidance Notes, Safe operating procedures/ Method Statements/ Safe Systems of Work	Management of Health and Safety at Work Regulations	Shared drives; Red Box H&S File; EDRM (indexed by UPRN)
HS 06	The process of managing the safety of a working environment, including assessment of risks (excluding asbestos and radiation)	Destroy 7 years from last assessment/ review	Person-specific and general risk assessments relating to: <ul style="list-style-type: none"> • Display Screen Equipment • Manual Handling • Noise • Stress • Pregnant employees 	The Display Screen Equipment Regulations The Manual Handling Operations Regulations The Control of Noise at Work Regulations	Line managers' personal drives; shared drives; Red Box H&S File; EDRM (indexed by UPRN) If stored on an occupational

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
			<ul style="list-style-type: none"> Nursing mothers Employees with disabilities 	Management of Health and Safety at Work Regulations Equality Act	health file, see HS 08 If stored on an individual employee file refer to HR retention schedule (Section 1)
HS 07	The process of issuing permits to work	Destroy 7 years from last action	All non-asbestos permits to work	Common Practice	EDRM (indexed by UPRN) and Red Box H&S file
HS 08	Number not used			For occupational health retention periods, see Human Resources retention schedule	
HS 09	The process that records injuries and incidents to adults	7 years from date of incident for adults	Incident report forms (inc accidents and assaults), incident investigation documents (e.g. reports, photographs, diagrams, witness statements)	Common Practice	Line managers' personal drives
HS 10	The process that records injuries to children	Destroy 25 years from DOB	Incident report forms (inc accidents and assaults), incident investigation documents (e.g. reports, photographs, diagrams, witness statements)	Limitations Act 1980 Children's Homes Regulations 1991 s.17	Line managers' personal drives

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
HS 11	The process that controls substances hazardous to health (excluding asbestos and sources of radiation)	Destroy 7 years from date of last entry	COSHH Sheet, COSHH inventory, legionella survey and testing records, waste disposal records	The Control of Substances Hazardous to Health Regulations Legionnaires' disease. The control of legionella bacteria in water systems (L8) ACOP Hazardous Waste (England and Wales) Regulations	EDRM (indexed by UPRN) and Red Box H&S file and legionella folder
HS 12	The process of recording the initial construction of a building	Retain for lifetime of building	Construction, Design and Management (CDM) Files	Construction (Design and Management) Regulations	EDRM (indexed by UPRN) and Red Box H&S file
HS 13	The process of displaying evidence of health and safety compliance in council buildings	Destroy 7 years from the date of signature	Signed health and safety policy statement, safe operating procedures, method statements, safe systems of work.	Health and Safety at Work etc. Act Section 2(3) This refers to the copies used for display purposes (e.g. on noticeboards). For guidance on retention of the originals, see HS 05 and the Management and Administration retention schedule.	Noticeboards, Dnet, Red Box H&S file when no longer current

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
HS 14	The process of displaying evidence of insurance status	Destroy at the expiry of cover	Employee Liability certificate, motor insurance certificate	Employers Liability (Compulsory Insurance) Act This refers to the copies used for display purposes (e.g. on noticeboards). For guidance on retention of the originals, see the Finance retention schedule.	Noticeboards
HS 15	The process of mitigating fire risks	Destroy 7 years after date of last record/review	Servicing/testing records for: Emergency lighting Fire alarms Fire extinguishers Fire drill records, daily/weekly/monthly fire check records, fire risk assessments (operational and technical)	The Regulatory Reform (Fire Safety) Order For fire drill records in children's homes, see Children's Services retention schedule	EDRM (indexed by UPRN) and Red Box fire folder
HS 16	Management of content of first aid kits	Destroy on completion of record	Log sheet	Common practice	In first aid box to which it relates.