



UNIVERSITY OF
LEICESTER

Records Management Policy

Health and Safety Retention Schedule

Records Management Policy

Version Control and Approval

Version Number	Comments	Author	Date
V1.00	First stand-alone version	David Jenkins (Records Manager) & Chris Bruce (Health and Safety Business Partner)	September 2022

Version Number	Approved by	Date
V1.00	Neale Goff (Director of Health and Safety)	September 2022

Implementation Guidance

Principles to follow

- It is good practice to proactively dispose of records on a regular basis (at least once a year if not more frequently). This helps make the process more manageable by keeping the quantity of records in your systems/storage locations to a manageable volume. If no proactive disposal takes place then it can make carrying out a review of records complex and time consuming (typically coinciding with the need to move offices or cleanse data from a system).
- Disposal actions need to be carried out when records are no longer 'current' (for example when a student has completed their studies with the University then their records are no longer active and can be reviewed). Retention periods will start to apply once a 'trigger' has been reached. For student data this will generally be the end of their studies. It is very rare for retention periods to start from the creation of a record.
- Retention rules apply to all information regardless of its format. This means that the same retention periods should apply to paper records as well as electronic records. The only exception to this might be when data has been extracted from a paper record and input into a system (i.e. transcribing information into a database and then regarding the information in this database as 'the record'). In cases where information has been transcribed it is usually beneficial to retain the paper original for a short period of time in case of any data quality concerns over the transcribed data.
- In order to make the proactive disposal of information easier it is good practice to store information in a way that supports the eventual disposal process. Examples might include arranging folders on the X:Drive by academic year so that a retention rule can be applied at the end of year. Similarly it is best practice to avoid large spreadsheets or database that include all of a School/Department's students over multiple cohorts as this can make the eventual disposal complex and time consuming, in these cases it is best practice to have a single spreadsheet/database based on a cohort year.
- The University Archives are the corporate memory of the University. Information transferred to the archive, in paper or digital form, is preserved permanently for staff, students, alumni and non-members of the University community to research within (subject to Information legislation). The Archives and Special Collections pages on the Library website tell you more about what we want to collect and how to transfer records, or you can [email the team](#) with any questions.



UNIVERSITY OF
LEICESTER

Records Management Policy

Where to go for more information

- For information on student data held locally please contact the relevant school or departmental Operations Manager in the first instance.
- For any queries about retention periods that are not covered by this retention schedule or records management in general please contact [Records Management](#).

Records Management Policy

Contents

1. Managing health and safety	5
2. Monitoring and audit	6
3. Incident and accident reporting and investigation	7
4. Risk assessments and processes permitting work.....	8
5. Student field trips and placements	9
6. Substances/organisms hazardous to health	9
7. Health and safety training.....	12

1. Managing health and safety

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
1.01	Agreed health and safety policies and procedures	Health and safety policies and procedures	Permanent.	Management of Health and Safety at Work Regulations 1999	Health and Safety Services <u>Note:</u> For formal main Health and Safety Policy, consider offering to the Archives.
1.02	Operational planning and arrangements to support health and safety	Local arrangements; Briefings; fire safety arrangements	Destroy 6 years from date of creation	Business requirement	Health and Safety Services; Schools/ Departments/ Divisions
1.03	Carrying out consultations and communications with staff and their representatives	Consultations; Correspondence	Destroy 6 years from date of creation	Business requirement	Health Safety Services



Records Management Policy

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
					<u>Note:</u> For formal and wide-ranging consultations considering offering to archives.

2. Monitoring and audit

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
2.01	The process of undertaking and acting upon health and safety monitoring and audits	Audit reports; Monitoring Reports; Action Plan, departmental safety inspections	Destroy 6 years from date of inspections/ monitoring	Limitations Act 1980	Health and Safety Services; Schools/ Departments/ Divisions <u>Note:</u> For monitoring relating to any substances that are hazardous to health should be retained as part the periods outlined in sections 6



Records Management Policy

3. Incident and accident reporting and investigation

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
3.01	Records documenting immediate investigations into possible accidental release or theft of radioactive substances	Incident reports	Destroy 50 years from date of report	Ionising Radiations Regulations (SI 2017/1075) Regulation 30	Health and Safety Services
3.02	Records of injuries, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises (and notification to the relevant bodies)	Notifications; Incident records	Destroy 6 years from date of recording	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (SI 2013/1471) Regulation 7(3) The Social Security (Claims and Payments) Amendment (No. 3) Regulations (SI 1993/2113) Regulation 2	Health and Safety Services <u>Note:</u> Should the incidents involve the potential for long term harm a longer retention period may be required.
3.03	Records documenting accidents and incidents involving adults	Accident or incident reports	Destroy 6 years from date of incident	Limitations Act 1980	Health and Safety Services; Schools/ Departments/ Divisions
3.04	Records documenting accidents and incidents involving children	Accident or incident reports	Destroy 25 years from date of birth of child	Limitations Act 1980	Health and Safety Services; Schools/ Departments/ Divisions <u>Note:</u> If age of the child cannot be confirmed assume the child was a new-born at the time of the incident



Records Management Policy

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
3.05	Reporting of RIDDOR incidents	RIDDOR reports	Destroy 6 years from date of incident	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013	Health and Safety Services For significant incidents consider offering to Archives.

4. Risk assessments and processes permitting work

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
4.01	The process to permit work	Permits to work	Destroy 3 years from completion of work	Health and Safety Executive Guidance: Guidance on permit-to-work systems	Health and Safety Services; Schools/ Departments/ Divisions
4.02	The process of carrying out risk assessments to ensure safe systems of work	Risk Assessments Fire risk assessments Travel risk assessments (query personal details which should be removed immediately after travel)	Destroy 6 years from superseded	The Management of Health and Safety at Work Regulations (SI 1999/3242); Limitations Act 1980 Fire reform order	Health and Safety Services; Schools/ Departments/ Divisions <u>Note:</u> For risk assessments relating to any substances that are hazardous to health should be retained as part the periods outlined in Section 6.
4.03	Display Screen Equipment assessments	DSE Assessment	Destroy 6 years from last assessment	Limitations Act 1980	Health and Safety Services; Schools/ Departments/ Divisions

Records Management Policy

5. Student field trips and placements

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
5.01	Ensuring safe placements for students	Employers health and safety questionnaire; Induction checklists	Destroy 6 years from placement	Limitations Act 1980	Health and Safety Services; Schools/ Departments/ Divisions

6. Substances/organisms hazardous to health

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
6.01	Managing the presence and condition of asbestos and measures associated with working with asbestos	Assessments; Plans for undertaking work with asbestos; Training records	Destroy 40 years from last action	Control of Asbestos at Work Regulations 2012	Asset Management and Compliance <i>Note:</i> Records of an individual's exposure to asbestos should be recorded on an individual's health surveillance record (held by HR/Occupational Health),
6.02	The process of monitoring areas affected by radiation and associated actions to reduce risk	Radon monitoring; Training records	Destroy 30 years from last action	The Ionising Radiations Regulations	Health and Safety Services <i>Note:</i> Records relating to an individual's exposure should be retained for 75 years from their date of birth.
6.03	Records relating to working with substances hazardous to health	List of employees exposed to group 3 and 4 biological agents; Training records	Destroy 40 years from last entry	The Control of Substances Hazardous to Health	Health and Safety Services; Schools/ Departments/ Divisions

Records Management Policy

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
				Regulations (SI 2002/2677) Regulation 7(10) and Schedule 3, para. 4(3)	
6.04	Records relating to working with genetically modified organisms	GM Risk Assessments; GM subcommittee comments	Destroy 10 years from completion of project	Genetic Modification (Contained Use) Regulations	Health and Safety Services; Schools/ Departments/ Divisions
6.05	Records of general exposure to hazardous substances in the workplace	General exposure records	Destroy 6 years from last entry	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 10(5)(b)	Health and Safety Services
6.06	Records of general exposure to hazardous substances in the workplace	Individual exposure records	Destroy 40 years from last entry	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 7(10) and Schedule 3, para. 4(3)	Health and Safety Services
6.07	Records relating to working with lead and monitoring for lead exposure	Lead tests; Repair records; Records of protection equipment; Monitoring records; Training records	Destroy 5 years from last action	The Control of Lead at Work Regulations 2002 Regulation 9	Health and Safety Services
6.08	Medical Surveillance Records relating to lead exposure		Date of last entry + 40 years	The Control of Lead at Work Regulations 2002 Regulation 10	Occupational Health



Records Management Policy

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
6.09	Registering workers who work with hazardous organisms	Register of workers; Exposure investigations; Training records	Destroy 40 years from completion of project	The Control of Substances Hazardous to Health Regulations	Health and Safety Services
6.10	Records of examination, maintenance and testing of plant and equipment provided to control exposure to substances hazardous to health and repairs carried out as a result	Testing records	Destroy 6 years from last examination/test	The Control of Substances Hazardous to Health Regulations	Health and Safety Services
6.11	Disposal records for open and sealed sources	Disposal records	Retained until written permission to dispose / delete is received from the Environment Agency	Environmental Permitting Regulations	Health and Safety Services
6.12	Registration of radiation workers	Registration records Training records	75 years from date of birth	Ionising Radiation Regulations 2017	Health and Safety Services
6.13	Registration and closure of supervised/controlled areas		Retained until written permission to dispose / delete is received from the Environment Agency	Environmental Permitting Regulations	Health and Safety Services
6.05	Records of general exposure to noise or vibration in the workplace	Noise measurements Vibration measurements	Destroy 40 years from measurement	Noise act	Health and Safety Services



Records Management Policy

7. Health and safety training

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
7.01	The provision of general health and safety training to staff	Training records; course materials	Destroy 10 years from superseded	Limitations Act 1980	Health and Safety Services
7.02	Training associated with the management of substances hazardous to health	Training records; course materials	Destroy 10 years from superseded, or 4years from termination of employment	The Control of Substances Hazardous to Health Regulations	Health and Safety Services