

Retention Schedule 6. Health & Safety and Medical Records

Record description	Regulatory retention period and source	Recommended retention period	Form in which to be kept	Reasons and remarks
Health & Safety at Work Act 1974				
<p>1 Written statement of general policy with respect to the health and safety at work of employees and the organisation and arrangements for carrying out that policy</p> <ul style="list-style-type: none"> • Management of referrals for absence/performance; • Pregnancy risk assessments; • DSE assessments. 	<p>All employers must have such written policy. [HSWA, s.2(3)]</p>	<p>Previous versions should be kept permanently or at least until the risk of any criminal prosecution or personal injury claims has expired.</p> <ul style="list-style-type: none"> • Manager to retain a copy on HR file. Report from occupational health 10 years • 1 year • 3 years 	<p>For practical reasons the current policy will need to exist in paper form. There would seem to be no reason why former policies should not be held in some other form.</p> <p>Any form</p> <p>Any form</p> <p>Any form</p>	<p>Statutory/Evidence/Evidence of compliance.</p> <p>Not deemed to be a medical/Occupational health record.</p> <p>To tie in with current PI Claim info requirements.</p>
<p>2 Risk assessments and reviews carried out for the purposes of the Management of Health and Safety at Work Regulations 1999 and other relevant regulations.</p>	<p>At least until a further assessment has taken place which renders the previous one obsolete. [reg.3(6)]</p>	<p>Previous assessments and reviews should probably be kept permanently or at least until the risk of any criminal prosecution or personal injury claims has expired.</p>	<p>Any.</p>	<p>Statutory/Evidence/Evidence of compliance.</p>

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3	Record of health and safety training for employees.		Records should be kept permanently or at least until the risk of any criminal prosecution or personal injury claims has expired.	Any.	Will be required for health and safety inspections to show compliance regulations.
4	Health & safety, office and shops legislation e.g. fire certificates.		Twelve years after the property interest ceases.		Fire certificates are kept for reference. Please refer to Factories Act note for additional info.
<i>Safety Representatives and Safety Committees Regulations 1977 and Health and Safety (Consultation with Employees) Regulations 1996</i>					
5	Record and minutes of consultations with safety representatives and committees.		Minimum of ten years or longer if they contain information that might be relevant to personal injury claims.	Although minute books are usually kept in paper form, there appears to be no particular reason in this case why they could not be kept in some other form.	Evidence/Evidence of compliance. Records may need to be produced on a health and safety inspection but may also be of use when defending civil actions.
<i>Regulatory Reform (Fire Safety) Order 2005</i>					
6	Fire risk assessment under art.9 of the Order, significant findings, measures to be taken and any group of persons identified as being especially at risk.	At least until a further assessment has taken place which renders the previous one obsolete.	If there has been a fire incident, the relevant fire assessment and procedures should be kept for longer.	Any.	Evidence/Evidence of compliance. Records may need to be produced on a health and safety inspection but may also be of use when defending civil or criminal actions.

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Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR)					
7	Record of any reportable injury, disease and dangerous occurrence.	Three years from date of entry for each reportable incident. [RIDDOR, reg.12]	Records should be kept permanently or at least until the risk of any criminal prosecution or personal injury claims has expired.	The regulations do not specify a particular form in which records must be kept.	Statutory/Evidence.
8	Accident book (Form BI510) required by social security (claims and payments) regulations 1979.	Three years from date of each entry. [reg.25(3)]	Records should be kept permanently or at least until the risk of any criminal prosecution or personal injury claims has expired.	Any.	Statutory. The HSE published a new version of the BI510 in 2003 that complies with data protection legislation. Accident regulations allow paper or electronic records.
Noise at Work Regulations 2005					
9	Noise exposure assessments under reg.5(1).	Until a further notice assessment is made pursuant to reg.5(1).		Any.	Records to prove that necessary preventative actions have been taken will also be needed for H&S inspections.
Control of Substances Hazardous to Health Regulations 2002 (COSHH)					
10	List of employees exposed to group 3 and 4 biological agents.	Forty years. [reg.7(10) and sch.3, para.4]		Any.	Statutory.

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11	Where exposure may lead to a disease many years later.	Forty years after last exposure. [COSHH, sch.9]		Any.	Statutory.
12	Record of examination and maintenance of control equipment.	Five years. [reg.9]		Any.	Statutory.
13	Record of exposure to hazardous substance at the workplace: <ul style="list-style-type: none"> • General exposure; • Personal exposure of identifiable employee. 	Five years. [reg.10(5)(b)] Forty years. [reg.10(5)(a)]		Any.	Statutory.
14	Health surveillance, including medical reports, of employees who are, or liable to be exposed to a substance hazardous to health.	Forty years from date of last entry. [reg.11(3)]		Any.	Statutory.
15	Record of specialist training or employees reg.12.		At least six years after employment ceases.	Any.	Will be required for H&S inspections to show compliance with reg. 12.

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16	Accident and emergency plans required by reg.13.		Previous plans should be kept permanently or at least until the risk of any criminal prosecution or personal injury claims has expired.	Any.	Current, and possibly recently replaced plans, will be required for health and safety inspections to show compliance with reg.13.
<i>Control of Asbestos at Work Regulations 2012 (CAWR)</i>					
17	Significant findings of asbestos risk assessment under reg.6.	Duration of the work at the premises. [reg.6(4)]		Any.	Statutory.
18	Plan of work required by reg.7.	Duration of work at premises. [reg.7(2)]		Paper probably required for practical reasons.	Statutory.
19	Records of maintenance and examination of control measures under reg.13 or CAWR.	Five years. [reg.13(3)]		Any.	Statutory.
20	Air monitoring records when: <ul style="list-style-type: none"> • Health surveillance required; • Health surveillance not required. 	Forty years. [reg.18(4)] Forty years. [reg.18(4)]		Any.	Statutory.

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21	Record of employee training, accident and emergency procedures.			Any.	To show compliance with regs.9 and 14.
22	Health surveillance (including medical reports).	Forty years from date of last entry. [reg.21(1)]		Any.	Statutory.
<i>Control of Explosives Regulations 1991</i>					
23	Explosives register required under reg.12.	Three years from the date of the latest entry. [reg.12]			
<i>Control of Lead at Work Regulations 2002 (CLW)</i>					
24	Records of training to comply with reg.11 of CLWR.		Minimum of period of employment or six years (whichever is the longer)	Any	Evidence/Evidence of compliance.
25	Accident and emergency procedures to comply with reg.12.		Should be retained for a minimum of six years after being updated	Current procedures will need to be in paper form for practical reasons, otherwise any	Evidence/Evidence of compliance.
26	Records of maintenance and examination of control measures under reg.8 of CLWR.	Five years. [reg.8(4)]		Any	Statutory.
27	Air monitoring records required under reg.9.	Five years. [reg.9(4)]		Any	Statutory.

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28	Health surveillance of employees exposed or liable to be exposed to lead.	Forty years from date at which entry was made. [reg.10(3)]		Any	Statutory.
<i>Chemical (Hazard Information and Packaging for Supply) Regulations 2009</i>					
29	Record of information: <ul style="list-style-type: none"> Used for the purposes of classifying dangerous preparations in accordance with reg.4; Used for the purposes of labelling in accordance with reg.7 Relating to any child resistant or any tactile warning which forms part of the packaging in which the dangerous preparation in question is contained. 	Three years after the date that the dangerous preparation was supplied. [CHIPS, reg.12(1)]		Any	Statutory.
<i>Diving at Work Regulations 1997</i>					
30	Diving operations record required by reg.6.	Two years after the date of the latest entry. [reg.6]			Statutory.
31	Diver's log book required by reg.12.	Two years after the date of the latest entry. [reg.12].			Statutory.

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<i>Hazardous Waste (England and Wales) Regulations 2005 [SI 2005/894]</i>				
32 Records of tipped (discharged) hazardous waste by other means under reg.47.	Three years after deposit of the waste. [reg.47]	N/A to Innogy Renewables UK - December 2017	Any form	Records made under this regulation must be kept in an onsite register.
33 Records of disposal or recovery of hazardous waste by other means under reg.48.	Where the hazardous waste is fully recovered, or remains at a transfer station, as the case may be until it leaves the site and for three years thereafter. [reg.48]	N/A to Innogy Renewables UK - December 2017	Any form	Records made under this regulation must be kept in an onsite register.
34 Producer's, holder's and consignors' records under reg.49.	At least three years after the date on which the waste is transferred to another person. [reg.49]	Register and records kept locally (paper copies)	Any form.	Records made under this regulation must be kept in a register
35 Carrier's records under reg.50.	At least twelve months from the date of delivery of the waste to its destination. [reg.50]	N/A to Innogy Renewables UK - December 2017	Any form.	Records made under this regulation must be kept in a register

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<p>36 Consignment note required to be kept under reg.51(2)(a) by a person operating a waste site under a permit.</p>	<p>Either:</p> <ul style="list-style-type: none"> • For five years after the deposit of the waste; or • If the permit authorises disposal of waste in a landfill, until the permit is surrendered or revoked. <p>[reg.47(5A)]</p>	<p>N/A to Innogy Renewables UK - December 2017</p>	<p>N/A to Innogy Renewables UK - December 2017</p>	<p>N/A to Innogy Renewables UK - December 2017</p>
<p>37 Consignee's return to the producer, holder or consignor under reg.54.</p>		<p>Three years. N/A to Innogy Renewables UK - December 2017</p>	<p>Any form.</p>	
<p>38 Register of consignment notes and carriers' schedules under Special Waste Regulations 1996 (SWR).</p>	<p>Three years. [SWR, reg.15(4)]</p>	<p>Register and records kept locally (paper copies)</p>	<p>Likely to be in paper form.</p>	<p>Statutory. Records must be handed to the Environment Agency if licence is surrendered or revoked.</p>
<p>39 Site records for deposit of special waste.</p>	<p>Permanently. [SWR, reg16(1)]</p>	<p>N/A to Innogy Renewables UK - December 2017</p>	<p>Any.</p>	<p>Statutory. Records must be handed to the Environment Agency if licence is surrendered or revoked.</p>
<p>40 Consignment note for controlled waste.</p>	<p>Two years. [Environmental Protection (Duty of Care) Regulations 1991]</p>	<p>N/A to Innogy Renewables UK - December 2017</p>	<p>Likely to be in paper form.</p>	<p>Statutory.</p>

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Hazardous Waste (Site Closures)				
41	Plant running records since the last overhaul, condition of plant at the time of the overhaul and total accumulated running hours.		Until demolition.	Commercial.
42	Water extraction consents.		Until disposal of the site.	Commercial.
43	Pollution emission records.		Three years.	HMPI reference.
44	Asbestos disposal records; if buried on-site, marked drawings and plans of disposal area.		Indefinitely.	Legal.
45	Certificates of disposal of all chemicals and mercury from site.		Until demolition.	Health & Safety at Work Act.
46	Ash lagoon records.		Indefinitely.	Commercial/Safety.
47	Drawings of any unfilled underground structures.		Until disposal.	Commercial/Safety.
48	Main plant drawings.		Until demolition.	Commercial.
49	Station Managers closure reports.		Until disposal of the site.	Commercial/Legal.

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50	File of photographs of plant and building details of total generation from site.		Until disposal of the site.		Public Relations.
51	Ash disposal consents.		Until disposal of the site.		Commercial.
<i>Ionising Radiations Regulations 1999 (IRR)</i>					
52	Record of maintenance and examination of personal protective equipment.	Two years from date of examination. [reg.10]		Any.	Statutory.
53	Record of reasons for implementing a system of dose limitation.	Fifty years. [reg.11(2) and sch.4, pt 2, para.17]		Any.	Statutory.
54	Radiation dosage measurements required by reg.18 (3).	Two years from date measurements recorded. [reg.18(5)]		Any.	Statutory.
55	Record of maintenance and testing of measurement and control equipment.	Two years from date records were made. [reg.19(4)]		Any.	Statutory.
56	Individual radiation dose assessments.	Until person has attained the age of 75 but in any event for a minimum of 50 years after the records were made. [reg.21(3)]		Any.	Statutory.

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57	Summary of radiation dose assessments.	Two years from end of calendar year. [reg.21(7)]		Any.	Statutory.
58	Report of investigation required by reg.22.	Two years after date report was made. [reg.22(4)]		Any.	Statutory.
59	Radiation accident assessments for individuals.	Until person has attained the age of 75 but in any event for a minimum of 50 years after the records were made. [reg.23(2)]		Any.	Statutory.
60	Radiation health records.	Until person has attained the age of 75 but in any event for a minimum of 50 years after the records were made. [reg.24(3)]		Any.	Statutory.
61	Overexposure report.	Until person has attained the age of 75 but in any event for a minimum of 50 years after the records were made. [reg.25(2)]		Any.	Statutory.
62	Record of testing of radioactive seals, etc.	Two years after article is disposed of or until a		Any.	Statutory.

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	further record is made following a subsequent test to that article. [reg.27(3)]			
63 Records of the quantity and location of radio active substances.	Two years from the date on which they were made and, in addition, for at least two years from the date of disposal of that radioactive substance. [reg.28]		Any.	Statutory.
64 Reports of investigations carried out to comply with reg.30 and 32.	Fifty years (or two years if minor incident). [reg.30(5) and 32(7)]		Any.	Statutory.
<i>Medical Records and Health & Safety Policies</i>				
65 Medical record cards, medical examinations and health questionnaires.		6 years.	Paper at present. Moving to electronic copies by 2018.	Commercial.
66 X-ray films.		Indefinite.		Commercial.
67 Medical centre daily treatment records.		Indefinite.		Commercial.
68 X-ray registers.		Indefinite.		Commercial.
69 Medical officers' periodic		Indefinite.		Commercial.

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report.				
70 Details of medical schemes.		Indefinite.		Commercial.
71 Group health policies.		Twelve years after final cessation of benefit.		Limitations.
72 Group personal accident policies.		Twelve years after final cessation of benefit.		Limitations.
73 Board/panel or enquiry reports.		Indefinite.		Commercial.
74 Safety codes of practice and industrial safety notes.		Indefinite.		Commercial.
75 NP safety rules (E&M and CCGT Rules) company and local health and safety policy.		Indefinite.		Health & Safety at Work Act 1974
76 Other company safety and fire policy statements.		Indefinite.		Commercial.
77 HSE etc. enforcement notices and correspondence.		Indefinite.		Commercial.