

1. Haringey Council Procedure

1.1 Haringey Council recognises that the efficient management of its records is necessary to support its core functions, to contribute to the effective management of the Council and to comply with its legal obligations. Good records management is also important for the purposes of accountability, for sources of evidence (for enforcement agencies, employer liability insurers and in any defence against any possible litigation), for business continuity and **for understanding the Council's organisation and procedures.**

1.2 Most records which are required to be kept by law will be held by the department responsible for it. In some cases, records may also be retained by the Corporate Health and Safety team and the Human Resources Department.

The following list is an example of the type of records that should be retained:

- Accident reports and investigations.
- Risk assessments.
- Copies of Personal Emergency Evacuation Plans.
- Corporate policy and guidance.
- Asbestos register.
- Plant maintenance records – such as lifts, air-conditioning, gas supply, water.
- Fire Risk assessments and building fire manuals.
- Portable Electrical Equipment tests.
- Training records.
- Occupational health surveillance records.

2. Scope of Procedure

2.1 This procedure focuses on the management and retention of occupational health and safety records within Haringey Council.

2.2 **This procedure must be read in conjunction with Haringey Council's Record Retention Policy (see 'Other documents you may need to consider').** The periods shown in the Record Retention Schedule below follows the guidance specified in the Council's Record Retention Policy.

3. Key Terms and Summary Information

3.1 Key Terms

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| Record | Information created, received and maintained as evidence and information by Haringey Council, in pursuance of legal obligations or in the transaction of business. It is a statement of fact; it cannot be altered over time and has a retention time. Records may occur in all types of format or medium, including paper and electronic media. |
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4. Responsibilities for Implementation

4.1 Director

- 4.1.1 Each Director has overall responsibility for the management of records generated by activities within their department.

4.2 Manager/Head Teacher

- 4.2.1 The Manager/Head Teacher is responsible for the implementation and monitoring of this procedure. They shall ensure that records created, received and maintained within the team they are responsible for are managed in accordance with this procedure.
- 4.2.2 They shall ensure the safe retention of records for the minimum period stipulated in the Record Retention Schedule below, the transfer for long-term storage, and the timely destruction of records no longer required.
- 4.2.3 They shall ensure records are retained either in paper or electronic format; those kept in an electronic format should be stored with suitable backup systems to safeguard against computer/systems failure.

Records in all formats must be made readily available for inspection, either by the enforcing authority (ie. Health and Safety Executive or Local Authority) or for internal auditing purposes.

- 4.2.4 Where records relate to health or considered confidential for other reasons, they shall be kept secure **in accordance with the Council's policies** found at Section 6.1 'Other documents you may need to consider'.

4.3 Employees

- 4.3.1 All employees who create, receive records are responsible for ensuring any occupational health and safety records are managed in accordance with this Procedure **and Haringey Council's Record Retention Policy and Data Protection Policy**.

5. Specialist Advice

- 5.1 For further information and guidance regarding this procedure, please contact the Corporate Health and Safety Team.
- 5.2 **For further information and guidance regarding the Council's Information Handling, Labelling and Disposal Policy**, please contact the IT Security and Continuity Manager and/or the IT Security Manager.
- 5.3 For further **information and guidance regarding the Council's generic Record Retention policy and Data Protection policy**, please contact the Council's Data Protection Officer.

6. Other documents you may need to consider

6.1 Haringey Council Policies (hyperlinks)

6.1.1 [Haringey Council Records Retention Policy](#)

6.1.2 [Haringey Council Information Handling, Labelling and Disposal Policy](#)

6.1.3 [Haringey Council Data Protection Policy](#)

7. Action to Take

7.1 Record Management

7.1.1 Some health and safety legislation defines strict requirements for the minimum duration that specific records must be retained (e.g. 3 years for accident records); conversely, there is no specific legal requirement to retain some other records once they have been replaced or are no longer relevant (e.g. risk assessments where the assessment has been replaced or the activity is no longer performed).

7.1.2 Where there is no legal requirement to retain a record, Haringey Council have standardised the retention period of safety records to 6 years from the date of the activity as this is the primary limitation period under the Limitation Act 1980. This is mainly for the purposes of demonstrating that there is a history of effective safety management as part of a defence against litigation or for evaluating the validity of a claim, etc.

7.1.3 Confidential records should always be destroyed securely. Paper records should be shredded. Care should be taken to ensure electronic records are deleted from the **Council's network. Records shall be disposed of in accordance with the Council's Information Handling, Labelling and Disposal Policy (see Section 6.1 'Other documents you may need to consider')**.

7.1.4 Once paper records are no longer in active use and/or are older than 6 years, they should be transferred to off-site storage. The records will then be retained (including scanned and held electronically) for the periods outlined in the retention schedule.

Where records are removed from the physical environment of the business unit into other physical areas whether directly controlled by the Council or by external third parties, the Manager (i.e. information asset owner) retains responsibility until disposal.

7.2 Data Protection

This section must be read in conjunction with Haringey Council's Data Protection Policy (see Section 6.1 '**Other documents you may need to consider**').

7.2.1 Safety records containing personal information are covered by the Data Protection Act 2018. All data (including records) must be kept secure; be accurate; limited to what is necessary; processed lawfully and transparently; and collected for specific purposes. **For more information contact the Council's Information Governance Team.**

- 7.2.2 In general, any records or identifiable medical details that are related to the person themselves should be kept by Managers and/or the Human Resources department with the employee's personal records and/or occupational health department in their medical records. Any information regarding plant, equipment or building services (such as compliance records) should be kept by the department that normally controls it.
- 7.2.3 All personal data (including electronic records) identifying individuals should only be accessible by authorised persons and should be transferred and processed in a secure manner that protects against unauthorised or unlawful access, or accidental loss.

7.3 Record Retention Schedule

- 7.3.1 The Record Retention Schedule below provides both a broad description of the types of occupational health and safety records likely to be used by departments plus their retention periods.
- 7.3.2 The retention periods shown are either set by legislation or are good practice recommendations set by Haringey Council. Records may be retained in paper and/or electronic format but must be readily available.

7.4 Record Retention Schedule

- 7.4.1 Where the following topics/issued are applicable to departments, then the associated occupational health and safety records are required to be retained for the periods shown. Records may be retained in hard copy and/or electronic format but must be made readily accessible when necessary.

Record Retention Schedule

| Type of Record & Topic/Issue | Relevant Legislation (where applicable) | Retention Period |
|---|---|---|
| Accident and Incident Reporting and Investigation | | |
| Records documenting the recording and investigation of accidents, dangerous occurrences and outbreaks of notifiable diseases on the premises. | Social Security (Claims and Payments) Regulations 1979; Social Security (Industrial Injuries) (Prescribed Diseases) Regulations 1985; Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013; Civil law – Limitation Act 1980. | Closure of investigation + 6 years OR , if health related, + 40 years |

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| Records documenting the notification and reporting to enforcing authorities, of reportable accidents, dangerous occurrences (HSE F2508) and outbreaks of notifiable diseases | Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013; Civil law – Limitation Act 1980. | Date of notification + 6 years (statutory 3 years) |
| Asbestos at Work | | |
| Records documenting assessments to determine the presence of asbestos | Control of Asbestos Regulations 2012; Management of Health and Safety at Work Regulations 1999; Civil law – Limitation Act 1980. | Date of record + 40 years |
| Asbestos management records | Control of Asbestos Regulations 2012; Management of Health and Safety at Work Regulations 1999; Civil law – Limitation Act 1980. | Date of record + 40 years |
| Training records | Control of Asbestos Regulations 2012; Management of Health and Safety at Work Regulations 1999; Civil law – Limitation Act 1980. | Termination of appointment + 6 years |
| Asbestos incident records | Control of Asbestos Regulations 2012; Management of Health and Safety at Work Regulations 1999; Social Security (Industrial Injuries) (Prescribed Diseases) Regulations 1985; Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013; Civil law – Limitation Act 1980. | Date of record + 40 years |
| Audits | | |
| Records documenting the conduct and results of audits of departmental occupational health and safety management systems and departmental management action plans detailing how any issues were addressed. | Management of Health and Safety at Work Regulations 1999; Health and Safety at Work Act 1974; Civil law – Limitation Act 1980. | 6 years |

| Control of Substances Hazardous to Health (COSHH) | | |
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| Personal health records kept for employees under health surveillance | Control of Substances Hazardous to Health Regulations 2002. | 40 years from the date the last entry was made |
| Personal exposure monitoring records | Control of Substances Hazardous to Health Regulations 2002. | 40 years from the date the last entry was made |
| All other types of (non-personal) exposure monitoring records, eg. fixed site monitoring | Control of Substances Hazardous to Health Regulations 2002; Civil law – Limitation Act 1980. | 6 years from the date the last entry was made |
| Records documenting examinations, tests, results and repairs of plant and equipment provided to control exposure to substances hazardous to health (eg. PPE, RPE, local exhaust ventilation, etc) | Control of Substances Hazardous to Health Regulations 2002; Civil law – Limitation Act 1980. | Date of record + 6 years |
| Fire Safety | | |
| Personal Emergency Evacuation Plans (PEEP's) | Civil law – Limitation Act 1980. | End of relevance of PEEP + 6 years |
| Records documenting all tests, maintenance and inspections of all fire safety equipment, installations and other provisions | The Regulatory Reform (Fire Safety Order) 2005; Civil law – Limitation Act 1980. | Date of tests, etc + 6 years |
| Fire risk assessment | The Regulatory Reform (Fire Safety Order) 2005; Civil law – Limitation Act 1980. | Superseded risk assessment + 6 years |
| Appointment and training of competent staff to assist in implementing fire safety measures | The Regulatory Reform (Fire Safety Order) 2005; Civil law – Limitation Act 1980. | Termination of appointment + 6 years |
| Records documenting fire drills and reviews of fire drills | The Regulatory Reform (Fire Safety Order) 2005; Civil law – Limitation Act 1980. | Current + 6 years |
| Records documenting assessment for fire safety equipment, installations and other provisions | The Regulatory Reform (Fire Safety Order) 2005; Civil law – Limitation Act 1980. | Date of assessment + 6 years |
| Records documenting arrangements with external emergency service organisations. | The Regulatory Reform (Fire Safety Order) 2005; Civil law – Limitation Act 1980. | Date of review + 6 years |
| First Aid | | |
| Appointment and training of first aiders | Health and Safety (First Aid) Regulations 1981; Civil law – Limitation Act 1980. | Termination of appointment + 6 years |

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| Records documenting assessment of requirements for first aid facilities and equipment. | Health and Safety (First Aid) Regulations 1981; Civil law – Limitation Act 1980. | Date of assessment + 6 years |
| Records documenting arrangements with external emergency service organisations. | Health and Safety (First Aid) Regulations 1981; Civil law – Limitation Act 1980. | Date of review + 6 years |
| Risk Assessments | | |
| Records documenting the findings of general and specific risk assessments including COSHH, manual handling, noise, work equipment, DSE, manual handling, PPE, homeworking, stress at work, etc. | Management of Health and Safety at Work Regulations 1999; Health and Safety at Work Act 1974 and regulations made under it; Civil law – Limitation Act 1980. | Superseded risk assessment + 6 years |
| Work Equipment | | |
| Examination and testing records; repair and service records; reports and action plans in relation to plant and equipment, machinery and processes. Examples include lifting equipment, pressure systems, emergency stops, mobile work platforms, machines, power tools, mobile work equipment, ladders, trolleys, etc | Provision and Use of Work Equipment Regulations 1998; Lifting Operations and Lifting Equipment Regulations 1998; Pressure Systems Safety Regulations 2000; Civil law – Limitation Act 1980. | Date of record + 6 years |
| Portable Appliance Test Reports | The Electricity at Work Regulations 1989 | Current + previous report |
| Vibration at Work | | |
| Risk assessments | The Control of Vibration at Work Regulations 2005; | Superseded risk assessment + 6 years |
| Records documenting the provision of information, instruction and training about health risks/precautions to take and receipt thereof | The Control of Vibration at Work Regulations 2005; Civil law – Limitation Act 1980. | Termination of appointment + 6 years |
| Personal health records kept for employees under health surveillance | The Control of Vibration at Work Regulations 2005; Social Security (Claims and Payments) Regulations 1979; Social Security (Industrial Injuries) | 40 years from the date the last entry was made |

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| | (Prescribed Diseases) Regulations 1985; Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013. | |
| Water Quality Management | | |
| Risk assessments relating to water services | Control of Substances Hazardous to Health Regulations 2002; Management of Health and Safety at Work Regulations 1999; Health and Safety at Work Act 1974; Legionnaires' Disease, HSE Technical Guidance HSG274; Civil law – Limitation Act 1980. | Superseded risk assessment + 6 years |
| Written schemes for controlling potential risks from legionella | As above | Superseded risk assessment + 6 years |
| Records documenting results of any monitoring, inspections, testing, etc | As above | Date of record + 6 years |
| Building safety and construction | | |
| CDM safety file (construction materials, layout and position of services, etc) | Construction (Design and Management) Regulations 2015. | Life of building |
| Training | | |
| Records documenting the provision of information, instruction and training on health and safety matters | Health and Safety at Work Act 1974 and regulations made under it; Civil law – Limitation Act 1980. | Superseded record + 6 years |
| Occupational Health Surveillance | | |
| Records documenting all aspects of health and medical surveillance, including for any topics in this schedule | Social Security (Claims and Payments) Regulations 1979; Social Security (Industrial Injuries) (Prescribed Diseases) Regulations 1985; Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013; Health and Safety at Work Act 1974 and | 40 years from the date the last entry was made |

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| | regulations made under it; Civil law – Limitation Act 1980. | |
| Occupational Hygiene Monitoring | | |
| Records documenting all aspects of occupational hygiene monitoring, whether relating to general exposure or personal exposure, including for any topics in this schedule | As above | 40 years from the date the last entry was made |
| Corporate | | |
| Health and safety policy | Health and Safety at Work Act 1974; Civil law – Limitation Act 1980. | Superseded record + 6 years |
| Corporate H&S Team/Departmental policies and procedures relating to health and safety | Civil law – Limitation Act 1980. | Superseded record + 6 years |
| Health and safety committee/group and sub-committee papers | Civil law – Limitation Act 1980. | 40 years |
| Consultation records | Health and Safety at Work Act 1974; Safety Representatives and Safety Committees Regulations 1977; Health and Safety (Consultation with Employees) Regulations 1996. | Consultation end + 6 years |
| Correspondence with enforcing authorities, eg. HSE, fire service. Relating only to formal matters, investigations, enforcement, etc. | Health and Safety at Work Act 1974; Corporate Manslaughter and Corporate Homicide Act; Civil law – Limitation Act 1980. | 6 years after matter/case/investigation is closed |
| Lead | | |
| Risk assessments relating to lead at work | Control of Lead at Work Regulations 2002. | Date of the assessment + 40 years |
| Medical surveillance of individual employees who are exposed to lead | Control of Lead at Work Regulations 2002; Social Security (Claims and Payments) Regulations 1979; Social Security (Industrial Injuries) (Prescribed Diseases) Regulations 1985; | 40 years from the date the last entry was made |

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| | Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013; Civil law – Limitation Act 1980. | |
| General | | |
| Inspection reports and action plans not listed elsewhere on the schedule | Health and Safety at Work Act 1974; Civil law – Limitation Act 1980. | Superseded record + 6 years |

8. Record Keeping

- 8.1 All Council records shall be managed in accordance with the Council policies listed in section 6.1.

9. Monitoring and Review

- 9.1 This procedure should **be reviewed by the Council's Corporate Health, Safety and Wellbeing Board** within a period not greater than 26 months and where necessary, it will be revised as soon as practicable where changes in statute or industry best practice deem the content out of date.

10. Approval of the Procedure

- 10.1 This safety procedure was reviewed by the Corporate Health, Safety and Wellbeing Board and **approved by the Council's Head of Organisational Resilience on 15th February 2021**. Any required variations from this safety procedure should be brought to the attention of the Council's Head of Organisational Resilience.

Approved by (print name): Andrew Meek, Head of Organisational Resilience

Signature:



Date: 15.02.2021