

# **Business Classification Scheme and Retention Schedule**

**Version 12.0**

**October 2010**

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## INTRODUCTION

### Purpose of the HSE Records Plan

The HSE Records Plan is designed to help organise and manage HSE documentation including:

- Centrally held registered files
- Locally held files which are not of corporate significance, ie. records which do not directly relate to HSE's business or activities

- Electronic documents and records managed as part of Electronic Records Management (ERM)

A new Electronic Document and Records Management (EDRM) system, TRIM, has been introduced to manage both electronic documents and paper-based files throughout HSE. This gives staff authorised access to HSE documentation and files via a single system. The Business Classification Scheme (BCS) underpins the EDRM system and provides the basis for processing and managing the lifecycle of HSE records.

## Functional Analysis

The HSE Records Plan provides a common framework for handling documentation across the HSE. It is intended to support programme and project-based working and is derived from a functional analysis of the HSE. This is an approach being adopted throughout the Civil Service and endorsed by The National Archives (formerly the Public Record Office). The actual headings are derived from: the HSE Common Process Map, consultations with Directorates, the HSE Thesaurus and examination of existing registered file categories.

The HSE Records Plan is a three-level classification, which, for most areas has been organised as follows:

- Function - used as a top-level term to represent the major responsibilities that are managed by the HSE to fulfil its goals.
- Activity - used to describe the major tasks performed by the HSE to accomplish each of its functions. Several activities may be associated with each function.
- Process - used to describe the tasks, which take place on a regular basis to perform each activity.

For example:

Function:	1.	Business Support and Management
Activity:	1.6	Human resource management
Process:	1.6.4	Recruitment

An exception to this is Section 6 - Research where it was deemed more useful to break the classification down into different research topics based on HERALD and NSD's research categories.

## Some Definitions

Before proceeding, it might be useful to review the definitions of some of the terms used in this records plan:

- Documents - printed or electronic papers such as reports, letters, memos, or e-mail messages. The definition also includes handwritten notes and printed out graphical material. An electronic document is any of these held in machine-readable form or as a scanned image.

- EDRMS - Electronic Document and Records Management Systems, seen as a technical solution to the government target for adoption of ERM (electronic records management) by 2005. The EDRMS manage both electronic and - paper-based records.
- Electronic Record - one or more linked electronic documents plus record metadata - the electronic equivalent of a paper file.
- File - collection of papers on a specific topic that are held together for management and disposal as a single entity (either hard copy or electronic).
- Metadata - information about documents or records that is used to manage and retrieve them. The general definition is "data about data".
- Records - "information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business". A record may consist of a collection of documents that together provide a complete 'story' about a particular activity or process. A general term that covers both electronic records and hard copy files.
- Records Plan - a classification system used for managing paper files and electronic records. Sometimes referred to as a 'File Plan'. The National Archives definition is "structured scheme of categories in which files are grouped - a taxonomy".
- Registered File - a paper file or electronic record that has been recorded centrally by the Information Management Unit.
- Scanned Document - an electronic image of a paper document. This is generally not a revisable document.
- Thesaurus - a formal list of (specialist) terminology, which shows the relationship between terms including the hierarchy of terms, synonyms and preferred terms.
- 1<sup>st</sup> Review is currently carried out when a file is 9 years old.
- 2<sup>nd</sup> Review is currently carried out when a file is 25 years old.

### **How it will Work**

The HSE Records Plan has many similarities to the current system of Registered Files, in that a record (or file) is registered under a particular category. The main difference is that rather than allocating a block of file categories to each directorate or division, the Records Plan cuts across the whole of the HSE.

When a new document is created it should be assigned to an electronic record or hard copy file. That record has a heading from the HSE Records Plan assigned to it. The heading groups together similar records making them easier to retrieve. It also helps with the management of those records so that they are kept for the appropriate length of time and the correct security classification and access controls can be applied to them. Registered files and records should be assigned headings whether they are held centrally or locally.

This system will help to overcome one of the major problems of reviewing records, by making the decision about their retention as soon as they are assigned a heading from the

HSE Records Plan. This information about a file or record is known as "metadata". Other metadata such as the folder title, and the date of creation will also be assigned to each file.

A scope note is included under each function and activity, which forms the basis for developing the processes, which go to make up that activity. The present participle of the verb has been used in the scope note to indicate more clearly the activities/processes taking place. We have also listed some example tasks that are covered by each process. This is not a categorisation and is intended to be indicative of the type of material that would use this heading.

The system is not intended to be rigid and it is possible to make exceptions to the guidelines for each heading in the records plan, for instance by varying the retention period for a particular file.

### **Benefits of the Records Plan**

The Records Plan has been developed to enable the HSE to effectively manage documentation and to support project-based working across the organisation. The specific benefits of this approach are:

- Improved retrieval - there is one system for locating all HSE records, regardless of topic or originating department.
- Supports change management - it is a more robust system that is not dependent on the organisational structure. This means that it should not need to be changed whenever there is an internal reorganisation of the HSE. This is because it is based on the functional analysis of HSE, which is more stable than the organisational structure.
- Encourages cross-departmental working and knowledge sharing - a common system for classifying records means that they are accessible to everyone in the HSE (subject to security requirements).
- Integrated system for electronic records and physical files.
- Consistent management of records - the system allows for application of standard retention periods or security classifications for each category of record.
- Efficiency - allows for management of categories of record rather than individual records, saving time and effort.
- Assist with meeting e-government metadata standards and corporate data management.

### **Retention Schedule**

A box containing the recommended retention period is given for each heading in the Records Plan. The retention period applies to all records in that category by default. Individual records or documents may require a different retention period to that recommended, in which case managers are invited to contact the Information Management Unit to discuss their retention requirements. Typically these will be driven by business need.

The source of the recommended period is given under the heading "Authority". The main drivers for retention, and therefore the authorities for the recommended retention periods are:

- Business need - as agreed by HSE Board in November 2004
- Legislation - the relevant piece of legislation is listed
- National archive requirement or guidelines - published from The National Archives or its predecessor, the Public Record Office
- Approved retention - based on proposed retention periods that have been considered and approved by The National Archives

Where permanent retention is indicated, this means transfer to The National Archives after 25 years. Criteria will mainly centre on strategic and high-level policy documents that are likely to be of historical interest.

We should emphasise the importance of keeping the retention schedule up to date, to reflect changing business needs, new legislation, revised guidelines for The National Archives, different perceptions of risk management and new priorities for the HSE.

### **On-going Development**

The Records Plan will be maintained by the Information Management Unit in BSD who will make amendments and additions as the new organisation of HSE evolves. Please forward any comments to Kathy Morgan:

[kathleen.morgan@hse.gsi.gov.uk](mailto:kathleen.morgan@hse.gsi.gov.uk)

Tel: 0151 951 3870

The Retention Schedule will be maintained by the Information Management Unit in BSD who will make amendments to it whenever the legislation, National Archive guidance or business need to retain types of information changes. Please forward any comments to Elaine Dearden:

[elaine.dearden@hse.gsi.gov.uk](mailto:elaine.dearden@hse.gsi.gov.uk)

Tel: 0151 951 3807

## 1. BUSINESS SUPPORT & MANAGEMENT

The internal management of HSE as an organisation, and of its Directorates and Divisions, which enables it to carry out functions 2-7.

### 1.1 Business Strategy

Formulating HSE policy and strategy to enable it to operate and deliver the services it is bound to deliver at both corporate and departmental levels.

#### 1.1.1 Corporate Mission

Development, review and updating of the missions and goals for the HSC/E and its Directorates/Divisions.

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	2 <sup>nd</sup> Review (25 years after file opened)
	<b>Electronic:</b>	25 years
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

#### 1.1.2 Strategic Planning

Development of operational strategies to enable HSC and HSE to achieve its missions and goals

Communications

Priority Programmes

Review of operational strategies

Revitalising Health and Safety

Securing Health Together

*Use 1.1.4 'Corporate policies' for review of policies*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	3 years from end of planning cycle to which it relates
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

#### 1.1.3 Business Planning

Development of annual business plan

Developing objectives

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	3 years from end of planning cycle to which it relates
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

### 1.1.4 Corporate Policies

Developing, reviewing and updating of policies and plans that affect whole of HSC/HSE to ensure consistency, eg.

Communications

Corporate Identity

Equal opportunities and diversity

Purchasing

Enforcement Policy Statement

Policy statement on standards

Science and Technology policy

Finance policy

Sustainable development

*Use 1.6.2 'Conditions of employment' for policies relating to staff terms of employment, pensions, etc*

*Use 1.9.2 'Administration' for procedures for staff undertaking administrative duties*

*Use 1.9.3 'Operations' for procedure for staff undertaking operational duties and responsibilities*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

## 1.2 Organisational Planning

Formulating and monitoring plans to deliver strategy at all levels within the organisation.

*Use 1.1.4 'Corporate policies' for work relating to corporate policies*

### 1.2.1 Financial

Planning use of financial resources, eg.

Preparation and submission of HSE input to the Spending Review process

Autumn Planning Exercise

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	3 years from end of planning cycle to which it relates
<b>AUTHORITY:</b>	Approved/HSE Board	

### **1.2.2 Staffing**

Planning of human resources, eg.

Reviewing staffing needs and planning for re-structuring

Human Resources Conference organisation and proceedings

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	3 years from end of planning cycle to which it relates
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

### **1.2.3 Developing Plans**

Development, review and updating of annual and periodic plans for divisions and directorates as well as corporately for HSE

Divisional plans

Disaster recovery plan

Directorate health and safety plans

Communications Plans

*Use 1.13.2 'In-year activities' for estate planning*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	3 years from end of planning cycle to which it relates
<b>AUTHORITY:</b>	Approved/HSE Board	

## **1.3 Monitoring, Auditing, Reviewing**

Reviewing the performance of the business including quality management, auditing and business efficiency.

### **1.3.1 Internal Audit and Assurance**

Internal auditing and assurance of procedures and processes, eg.

Compliance audits

Financial audits

Operational audits

Record keeping audits

System audits

*Use 1.7.3 'Accounting for the use of resources' for external audits*

*Use 1.2.2 'Staffing' for skills audits*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	6 years
<b>AUTHORITY:</b>	<a href="#">The National Archives Retention Scheduling 11: Internal Audit Records</a>	

### **1.3.2 Business Evaluation and Monitoring**

Measurement of performance against targets and standards, eg.

Continuous improvement processes

Performance reviews

Quality assurance

Stakeholder perceptions

Corporate health and safety performance reviews

*Use 1.6.9 'Staff relations' for staff attitude surveys*

*Use 1.1.2 'Strategic planning' for review of operational strategies*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	3 years from end of planning cycle to which it relates
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

## **1.4 Risk Management**

Identifying risks

Minimising risks

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

## **1.5 Corporate Knowledge Management**

Including all aspects of records management, library and information provision to staff, language services and initiatives to identify and disseminate corporate knowledge

### **1.5.1 Records Management**

Development, review and updating of HSE Records Plan (Business Classification Scheme & Retention Schedule)

Management of registered files

Electronic document and records management (EDRM)

*Use 1.9.2 'Administration' for generic guidance for staff on records management procedures*

*Use 1.1.4 'Corporate policies' for records management policies*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	<a href="#">The National Archives Retention Scheduling 9: Information Management Record</a>	

### ***1.5.2 Language Services***

Work of HSE languages services, eg.

Translations

Interpreting Service

Telephone Interpreting Service

*Use 1.11.5 'Contract management' for management of contracts with external translators*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	7 years
<b>Notes:</b> (i) Retain translation originals with relevant policy/procedural file		
<b>AUTHORITY:</b>	Approved/HSE Board	

### ***1.5.3 Information Centres***

Work of the HSE Information Centres, eg.

Document supply

Search services

Journal circulation

Internal enquiries

Integrated Library Management Service

Collection and recording of management statistics

*Use 5.2.1 'General enquiries - replies' for external enquiries*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	5 years
<b>AUTHORITY:</b>	Approved/HSE Board	

### ***1.5.4 Internal Helplines***

Provision of helplines to staff, eg.

Refit Service Desk

Personnel Helpline

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	2 years
<b>AUTHORITY:</b>	Approved/HSE Board	

### **1.5.5 Intranet**

Operation of the Intranet service within HSC/HSE, eg.

Preparation, reviewing, updating and uploading web pages for information purposes

*Use 5.1.4 'HSE Website' for production of information intended primarily for public use*

<b>RETENTION PERIOD:</b>	Contains current document on Intranet
<b>AUTHORITY:</b>	HSE Board

## **1.6 Human Resource Management**

Managing and developing HSE staff, including post-filling, performance management, conditions of employment, training and development, pay administration and staff welfare. Includes some activities associated with external staff involved in HSE activities.

*Use 1.2.2 'Staffing' for reviews of staffing number, etc.*

### **1.6.1 Employee Files**

HSE employee files

<b>RETENTION PERIOD:</b>	Until employee aged 72 or 5 years after death, whichever is earlier
<b>AUTHORITY:</b>	<a href="#">The National Archives Retention Scheduling 2: Personnel Records</a>

### **1.6.2 Conditions of Employment**

Conditions of employment for all HSC/HSE employees, eg.

Civil Service Code

Official Secrets Act

Data Protection Act (subject to access requests by staff)

Equal opportunities

Termination of employment

Retirement

Redundancy

Pension contributions

*Use 1.1.4 'Corporate policies' for policies that do not directly affect staff conditions of employment*

Use 3.1 'HSE participation' to record details of HSE membership of BSI standards committees

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

<b>RETENTION PERIOD:</b>	Employee security records: 5 years after retirement or 10 years after leaving if before retirement age
<b>AUTHORITY:</b>	The National Archives Retention Scheduling 2: Personnel Records

### **1.6.3 Staff Health and Safety**

Management of health and safety as it relates to HSE staff, eg.

Health and safety training

Monitoring health and safety arrangements

Risk assessment reports

Health surveillance

Risk assessment-based guidance and instructions for fieldworkers

Health and safety management information records including accident and ill health reports

Health promotion

Use 1.6.1 'Employee files' for individual staff records

<b>RETENTION PERIOD:</b>	Individual health records: until aged 72, unless they include the following:
	Medical reports of those exposed to a substance hazardous to health, including: Lead (Control of Lead at Work Regulations 1980): 40 years after date of last entry on file
	Asbestos (Control of Asbestos at Work Regulations 1996): 40 years Compressed Air (Work in Compressed Air Regulations 1996): 40 years from date of last entry
	Radiation (Ionising Radiation Regulations 1985): 50 years from date of last entry
<b>AUTHORITY:</b>	<a href="#">The National Archives Retention Scheduling 2: Personnel Records</a>

<b>RETENTION PERIOD:</b>	Health surveillance records 40 years from date of last entry
	Examination, testing, monitoring and control records - 5 years after last action
	Accident books and ill health reports: 3 years after closure
	Training, guidance and instructions: 3 years
	Risk assessment reports and reviews: 1 <sup>st</sup> review
<b>AUTHORITY:</b>	<a href="#">Various health and safety regulations - see The National Archives Retention Guidelines 4: Health &amp; Safety Records</a>

#### **1.6.4 Recruitment**

Production of Vacancy Matters

Job descriptions

Recruitment exercises

Post-filling

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	12 months
<b>AUTHORITY:</b>	Approved/Civil Service Commissioners' Recruitment Code	

#### **1.6.5 Termination of Employment**

Termination of employment as it relates to HSE staff, eg.

Early retirement and severance

Age retirement

Death in service

Redundancy

*Use 1.6.2 'Conditions of employment' for general policies relating to staff terms and conditions*

*Use 1.6.1 'Employee files' for individual staff records*

<b>RETENTION PERIOD:</b>	Records relating to individual employee files: until aged 72 or 5 years after death, whichever is earlier (see 1.6.1 above)
<b>AUTHORITY:</b>	<a href="#">The National Archives Retention Scheduling 2: Personnel Records</a>

<b>RETENTION PERIOD:</b>	Keep records relating to general matters about termination of employment for 5 years after last action
<b>AUTHORITY:</b>	Approved/HSE Board

### 1.6.6 Pay and Pensions

Administration of pay to employees, eg.

Setting pay structure (HSE Long Term Pay Agreement/Civil Service Agreement)

Administration of payroll

Annual review of pay

Production of Pay Matters

Pay negotiations

Use 1.6.1 'Employee files' for individual case records

<b>RETENTION PERIOD:</b>	Pension records: until age 72 or 5 years after last action, whichever is earlier
	Individual employees personal payroll history: until age 72 or 5 years after death, whichever is earlier
<b>AUTHORITY:</b>	<a href="#">The National Archives Retention Scheduling 2: Personnel Records</a>

<b>RETENTION PERIOD:</b>	Salary ledger records; records relating to pay reviews, negotiations and structures: 6 years
	Payroll sheets; records relating to production of Pay Matters: 2 years
<b>AUTHORITY:</b>	<a href="#">The National Archives Retention Scheduling 3: Departmental Accounts</a>

### 1.6.7 Working Time

Administration of time worked by employees, eg.

Ensuring compliance with Working Time Regulations

Agreements to working over 48 hours per week

Records of time worked

Note: Individual time records are held locally

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>Note:</b> Keep locally held records: 2 years		
<b>AUTHORITY:</b>	<a href="#">The National Archives Retention Scheduling 2: Personnel Records &amp; Approved/HSE Board</a>	

### 1.6.8 Training and Development

Developing, delivering and monitoring an induction process for new staff

Developing, delivering and monitoring internal training

Developing training programmes

*Use 1.11.5 'Contract management' for management of contracts for training provided by external suppliers*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	6 years
<b>AUTHORITY:</b>	<a href="#">The National Archives Retention Scheduling 2: Personnel Records</a>	

### **1.6.9 Staff Performance**

Staff appraisals

Promotion

*Use 1.6.1 'Employee files' for individual staff records*

*Use 1.1.4 'Corporate policies' for HSE policies*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	5 years
<b>AUTHORITY:</b>	<a href="#">The National Archives Retention Scheduling 2: Personnel Records</a>	

### **1.6.10 Disciplinary Cases**

Management of staff conduct

*Use 1.6.1 'Employee files' for individual staff records*

*Use 1.9.2 'Administration' for procedures for managing staff discipline*

*Use 1.6.2 'Conditions of employment' for generic guidance*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	Records of serious disciplinary actions in sealed envelope in employee file. Otherwise retain both paper and electronic for 6 years after last action
<b>AUTHORITY:</b>	Approved/HSE Board	

### **1.6.11 Staff Relations**

Consultation with employees

Staff surveys

Negotiations with Trade Unions on general issues

Activities of Whitley Council and Committees

Handling 'qualifying disclosures'

Investors in People (IiP)

*Use 1.6.1 'Employee files' for individual staff cases*

<b>RETENTION PERIOD:</b>	5 years, except records relating to external complaints, which should be retained for 10 years.
<b>AUTHORITY:</b>	<a href="#">The National Archives Retention Scheduling 7: Complaints Record</a>

### **1.6.12 Staff Relocation**

Relocation of new and existing HSE staff

*Use 1.6.1 'Employee files' for individual staff records*

*Use 1.1.4 'Corporate policies' for HSE policies*

*Use 1.9.2 'Administration' for procedures for managing staff relocations*

*Use 1.7.2 'Monitoring and controlling resources' for financial records relating to relocating*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	6 years after end of financial year to which they relate
<b>AUTHORITY:</b>	Approved/HSE Board	

## **1.7 Financial Management**

Control and management of the HSE's financial resources, including bidding, budgeting, accounting and charging for HSE activities, centrally and departmentally.

*Use 1.11 'Procurement' for records relating to the payments for goods and services*

### **1.7.1 Resources: Allocation**

Budgeting

Allocating budgets to Directorates

Zero-based budgeting exercises

Departmental Investment Strategies (Capital Plan)

Managing and planning departmental budgets

*Use 1.2.1 'Resource planning' for planning use of financial resources*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	6 years after end of financial year to which they relate
<b>AUTHORITY:</b>	Approved/HSE Board	

### **1.7.2 Resources: Monitoring and Control**

Expenditure forecasts

Mid-year reviews

*Use 1.7.3 'Accounting for the use of resources' for management of invoices*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	6 years after end of financial year to which they relate
<b>AUTHORITY:</b>	Approved/HSE Board	

### ***1.7.3 Resources: Accounting***

Managing and reporting income and expenditure, eg.

Handling expense claims

Invoicing

Setting fees and charges

Revenue recovery

Statutory reporting (HSC/E Annual accounts; VAT reporting)

*Use 1.11 'Procurement' for procurement of goods and services from external sources*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	6 years after end of financial year to which they relate
		bank account records expenditure ledger records receipt and revenue annual financial statements (periodic statements when cumulated)
		Keep financial statements prepared for annual report and management one year after publication of report
		Keep expenditure and revenue returns for one year after year to which returns relate
<b>AUTHORITY:</b>	<a href="#">The National Archives Retention Scheduling 3: Departmental Accounts</a>	
	<a href="#">The National Archives Retention Scheduling 10: Central Expenditure Records</a>	

### ***1.7.4 Asset Management***

Management of the HSE's financial assets and investments

Administration of Pension Schemes

Land and buildings

Vehicles, eg. PUS

Office machinery, eg. photocopiers

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	Keep asset and depreciation records for 6 years after end of financial year to which they relate
<b>AUTHORITY:</b>	<a href="#">The National Archives Retention Scheduling 3: Departmental Accounts</a>	

## 1.8 Legal Services

Providing legal services to support the business, but excluding the formulation of health and safety legislation.

*Use 2.2 'National legislation' for formulation of health and safety legislation*

*Use 4.9 'Enforcement' for the prosecution of duty-holders*

### 1.8.1 Legal Advice

Provision of legal advice to HSE

*Use 4.9 'Enforcement' for individual prosecutions of duty holders*

*Use 1.8.2 'Civil claims' for individual legal case files*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### 1.8.2 Civil Claims

Individual legal civil claims case files

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	15 years after last action
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

## 1.9 Internal Guidance and Procedures

Drafting, distributing, reviewing and updating verbal and written guidance on internal procedures and working practices.

### 1.9.1 Staff Guidance

Staff Handbook

*Use 1.1.4 'Corporate policies' for policies*

*Use 1.6.2 'Conditions of employment' for guidance to staff on conditions of employment*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	<a href="#">The National Archives Retention Scheduling 9: Information Management Record</a>	

### 1.9.2 Administration

General Administrative Procedures (GAPs)

Premises Guidance Notes (PGNs)

HSA Notes

Purchasing Manual

*Use 1.1.4 'Corporate policies' for development, reviewing, etc. of policies*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	2 years after superseded by revision
<b>AUTHORITY:</b>	<a href="#">The National Archives Retention Scheduling 9: Information Management Record</a>	

### **1.9.3 Operations**

Development, distribution and review of guidance to staff on the carrying out of operational duties and responsibilities.

Inspection

Investigation

Complaints

Enforcement

Notice

Prosecution

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	<a href="#">The National Archives Retention Scheduling 9: Information Management Record</a>	

## **1.10 IT and Communications Infrastructure**

Developing the use of IT and communications equipment and enabling access to electronic information.

### **1.10.1 IT Security**

IT security incident reporting scheme

*Use 1.1.4 'Corporate policies' for policies relating to IT security*

*Use 1.9.2 'Administration' for security procedures for staff to follow*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### 1.10.2 IT Projects

Management of in-house projects relating to the development of IS/IT systems for the benefit of the organisation.

*Use 1.5.5 'Intranet' for projects involving work on HSE's Intranet*

*Use 1.11.5 'Contract management' for projects contracted out to contractors other than REFIT*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	5 years after completion of project
<b>AUTHORITY:</b>	Approved/HSE Board	

### 1.10.3 IT Support

Planned programmes for changes or modifications to existing systems and their implementation.

*Use 1.10.2 'IT projects' for new projects or development of replacement systems*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	5 years after completion of programme
<b>AUTHORITY:</b>	Approved/HSE Board	

## 1.11 Procurement

Procuring goods and services from external sources, including contract and project management.

### 1.11.1 Terms and Conditions: Development

Drawing up and revision of terms and conditions of purchase in order to protect the HSE in law, eg.

Purchase of services

Purchase of goods

Disposals

Commissioning of research

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### 1.11.2 Supplier Information

Information about suppliers and their products or services, eg. appraisals, records of disputes, etc.

*Use 1.11.5 'Contract management' for management of individual supplier contracts*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### **1.11.3 Purchase Orders**

Procurement of goods and services by means of a purchase order.

*Use 1.7.3 'Accounting for use of resources' for invoice payments*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	6 years after end of financial year to which they relate
<b>AUTHORITY:</b>	<a href="#">The National Archives Retention Scheduling 3: Departmental Accounts</a>	

### **1.11.4 Contracts**

Procurement of services or a piece of work or research by means of a contract, eg.

Research contracts

<b>RETENTION PERIOD:</b>	Statements of interest and unsuccessful tender documents: 2 years	
	Keep agreed specifications, evaluation criteria, and invitation to tender for 6 years from end of contract	
	Keep records relating to contracts for goods worth less than £5,000 for 2 years	
	Keep records relating to <u>services</u> for two years after payment of the last account	
	For contracts <u>for goods</u> over £5,000, keep successful tender and other contractual documents for 6 years from end of contract	
<b>AUTHORITY:</b>	<a href="#">The National Archives Retention Scheduling 5: Contractual Records</a>	

### **1.11.5 Contract Management**

Management and monitoring of contracts, including outsourcing.

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	6 years after the end of contract
<b>AUTHORITY:</b>	The National Archives Retention Scheduling 5: Contractual Records	
	<a href="#">The National Archives Retention Scheduling 10: Central Expenditure Records</a>	

### **1.11.6 Disposals**

The sale or disposal of HSE assets (other than real estate)

*Use 1.13.1 'Major property events' for disposal of HSE buildings*

*Use 1.12.1 'Furnishings and equipment' for disposal of HSE furniture and equipment*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	6 years after disposal of assets
<b>AUTHORITY:</b>	<a href="#">The National Archives Retention Scheduling 10: Central Expenditure Records</a>	

## 1.12 Accommodation Services

Managing in house administrative activities and services, consumables, equipment, messengers, reprographics and other office services.

### 1.12.1 Furnishings and Equipment

Allocation of furniture and equipment

Inventories

Maintenance records

Disposal of furniture and equipment

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	5 years
<b>AUTHORITY:</b>	<a href="#">The National Archives Retention Scheduling 1: Building Records</a>	
	<a href="#">The National Archives Retention Scheduling 3: Departmental Accounts</a>	
	<a href="#">The National Archives Retention Scheduling 10: Central Expenditure Records</a>	

## 1.13 Estate Management

Managing land and acquiring, constructing, fitting-out, managing, maintaining, protecting and disposing of premises, including environmental considerations. Includes buildings and land owned, rented or leased by the organisation.

### 1.13.1 Major Property Events

Lease expires

Lease breaks

Acquisitions

Disposals and dilapidations

Vacant/surplus space

Rent reviews

Major projects

<b>RETENTION PERIOD:</b>		
Records relating to a specific property:	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
Records relating to a specific project:	<b>Paper &amp; Electronic:</b>	5 years after completion of project
<b>AUTHORITY:</b>	Approved/HSE Board	

### ***1.13.2 In-Year Activities***

Maintenance

Asbestos

Specialist inspections and surveys

Minor works

Emergency works

Environmental management systems

Estate planning

Development of annual and five year plans

<b>RETENTION PERIOD:</b>		
(i) Records relating to a specific property:	<b>Paper &amp; Electronic:</b>	5 years after property has been disposed of or is no longer occupied by the HSE
(ii) Records relating to a specific project:	<b>Paper &amp; Electronic:</b>	5 years after completion of project.
(iii) Records of health and safety inspections:	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
(iv) Records relating to Estate planning:	<b>Paper &amp; Electronic:</b>	12 years*
<b>AUTHORITY:</b>	Approved/HSE Board/* Limitation Act 1980	

### ***1.13.3 Environmental Aspects***

Maintenance of existing Environmental Management Systems (EMS)

Development of new Environmental Management Systems for: buildings or functions

*Use 1.13.2 'Managing in-year activities' for maintenance of existing HSE buildings*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

## 1.14 Health and Safety Commission (HSC) Support

All aspects of Commission and Executive business including administrative support to the Chairman and the Advisory Committees

### 1.14.1 HSC

Commission activities, eg.

Appointment of HSC members

Meetings: agendas, papers, minutes

Correspondence

[Annual] Reports

Use 5.4.1 'Official enquiries - responses' for enquiries put to the HSC Chairman (Chairman's Office case - COs)

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	2 <sup>nd</sup> Review (25 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### 1.14.2 Industry Advisory Committees

Committees and sub-committees that include non-HSE members

Constitution and appointment of members

Meetings: agendas, papers, minutes

Correspondence

[Annual] Reports and Reviews

Industry Advisory Committees

Topic Advisory Committees

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

## 1.15 Executive and Board Support

All aspects of administration of HSE Board business including Board meetings and support to the Director General (DG) and Deputy Directors General (DDGs).

### 1.15.1 HSE Board and Executive

HSE Secretariat

Meetings: agendas, papers, minutes

Correspondence

Reports from HSE Board to the Health and Safety Commission

Older records are deposited in The National Archive (TNA) on a rolling programme

*Use 5.4.2 'Official briefings - responses' for briefing requests received by the HSE Secretariat*

*Use 5.4.3 'Speeches and interviews' for preparation of speeches and interviews on behalf of ministers and other officials as well as those for HSE staff*

*Use 5.4.4 'Parliamentary Questions' for responses to PQs*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	2 <sup>nd</sup> Review (25 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### **1.15.2 Internal Committees and Groups**

Internal HSE committees and groups, eg. the Audit Committee, Health & Safety Committee

Meetings: agendas, papers, minutes

Correspondence

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	2 <sup>nd</sup> Review (25 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

## **1.16 Health and Safety Laboratory**

Administration of HSL including working agreements with the HSC/E and activities of the HSL Board.

Memorandum of understanding

Framework agreement

Annual Plans

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	Review at 25 years
<b>AUTHORITY:</b>	Approved/HSE Board	

## **1.17 Internal Communications**

eXpress / e-express

Exchange

Briefings

Communications Partners

*Use 1.1.4 'Corporate policies' for development, reviewing, etc. of policies*

*Use 1.9.2 'Administration' for development and review of procedures*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### 1.18 Internal Meetings

Management meetings

Team/Section meetings

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### 1.19 HSE Board April 2008 onwards

All aspects of administration of HSE Board business including Board meetings

HSE Board meetings: agendas, papers, minutes

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	2 <sup>nd</sup> Review (25 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### 1.20 HSE Senior Management Team (SMT)

All aspects of administration of HSE SMT business including SMT meetings

HSE SMT meetings: agendas, papers, minutes

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	2 <sup>nd</sup> Review (25 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### 1.21 Information Assurance and Security

There are seven Security Policies within the HMG Security Policy Framework (SPF) outlining the mandatory security requirements and management arrangements to which all

Departments and Agencies (defined as including all bodies directly responsible to them) **must** adhere.

### ***1.21.1 Governance Risk Management and Compliance SP1***

Information assurance forum

Reports and risk registers

Audits and independent reviews

Training and awareness

Security and Information Assurance (IA) planning

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

### ***1.21.2 Protective Marking and Asset Control SP2***

Protective marking and asset control policy

Breaches and losses

Notifiable posts controls

Release of information controls

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

### ***1.21.3 Personnel Security SP3***

Personnel security policy

Vetting

Criminal records checks and Police National Computer (PNC)

Personnel security investigations

Statistics and finance relating to personnel security

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

**1.21.4 Information Security and Assurance SP4**

Information assurance and security policy

Technical risk assessments

Risk management and accreditation document set (RMADS)

System accreditation

GSI codes of connection (COCO)

Encryption and cryptography

Remote working / mobile computing

Security and information and communication technology (ICT) contracts

Incident reporting and investigation

Disposal and destruction of equipment

Annual health checks and penetration testing

Removable media policy

HSE network security policy

Community security policy

Blackberry devices

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

**1.21.5 Physical Security SP5**

Physical security policy at HSE premises

Security containers and cabinets

Physical security assessments and baseline controls at premises

Physical security incidents and investigations

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

**1.21.6 Counter Terrorism SP6**

Counter terrorism security policy and plans

Government response and threat levels

Counter terrorism incidents, reports and reviews

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

**1.21.7 Business Continuity SP7**

Business continuity policy

Business continuity assurance

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

## 2. POLICY AND LEGISLATION DEVELOPMENT

Developing policy directly related to Health and Safety

Contributing to policies for which HSE is not directly responsible

Drafting and developing legislation or codes of practice to advance policies

Drafting legislative guidance

*Use 7.1 'Horizon scanning' for gathering intelligence to inform policy*

*Use 5.1.1 'Publications and multi-media' for legislative guidance*

*Use 1.1.2 'Strategic planning' for planning implementation of policies*

### 2.1 National Policy

Collection of evidence

Communicating with stakeholders

Consideration of alternatives to legislation

Preparation of Regulatory Impact Assessment (RIA)

Consultation with stakeholders

Responding to other government departments' (OGDs) consultations

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### 2.2 National Legislation

Formulating and drafting new health and safety legislation at national level on behalf of the UK government or the devolved legislatures

Reviewing existing legislation

*Use 5.1.1 'Publications and multi-media' for legislative guidance*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### 2.3 EU Work

Contributing to and commenting on the formulation, drafting and revision of health and safety policy and legislation at European Union level.

### 2.3.1 Policy

HSE's involvement in the development and review of EU health and safety strategies and policies in general

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### 2.3.2 Legislation

Formulation, drafting and review of EU legislation

Consultation with stakeholders

Working groups

Regulatory impact assessments (RIAs)

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### 2.3.3 Nuclear Safety Co-operation

Euratom Treaty

European co-operation on nuclear safety

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

## 2.4 International Work

Work with international organisations to develop policy and formulate legislation at international level

### 2.4.1 Policy

Contributing to international treaties, conventions and surveys

Contributing to international programmes

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### 2.4.2 Legislation

Expert Working Groups - participation

Formulation, drafting and revision of international legislation

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### 2.4.3 Treaties and Co-operation

Bi-lateral national agreements

Agreements between the UK and other countries

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

## 2.5 Policy Review and Evaluation

Evaluation and review of national/international policies and legislation

*Use 1.1.4 'Corporate policies' for review of HSE policies*

*Use 1.1.2 'Strategic planning' for review of operational strategies*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### 3. STANDARDS: DEVELOPMENT

Formulation, drafting and revision of health and safety standards

*Use 5.1.1 'Publications and multi-media' for preparation of guidance to standards*

#### 3.1 HSE Participation

Management information of staff involved in the development of standards, eg.

Appointment of HSE representatives to British Standards Institution (BSI) committee work - criteria, communications, correspondence, changes

Records of HSE representation on BSI Technical Committee sub-ordinate groups

Agreements with BSI for HSE to act as secretariat for BSI committees engaged in European/international work

*Use 1.6.1 'Employee files' for individual staff records*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

#### 3.2 British Standards: Preparation

Formulating or contributing to and commenting on the drafting and review of health and safety standards at national level.

Consultation with stakeholders

Drafting of standards

*Use 5.1.1 'Publication and multi-media' for production of HSE guidance on standards*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

#### 3.3 European Standards: Preparation

Co-operating with European agencies to formulate, draft and review European health and safety standards.

##### 3.3.1 *New Standards*

Preparations for a new standard

Consultation with stakeholders

*Use 5.1.1 'Publication and multi-media' for production of HSE guidance on standards*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### **3.3.2 CEN Standards**

Development of a CEN standard.

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### **3.3.3 CENELEC Standards**

Development of a CENELEC standard.

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### **3.3.4 Harmonised Standard: Formal Objection**

Preparation of a formal objection to a harmonised standard

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### **3.3.5 Monitoring Effectiveness**

Monitoring impact of standards on health and safety

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

## **3.4 International Standards: Preparation**

Co-operating with international agencies, eg. International Organisation for Standardisation (ISO); International Maritime Organisation (IMO); International Labour Organisation (ILO); International Electrotechnical Commission (IEC) to formulate, draft and review international health and safety standards.

Drafting

Revisions

Negotiation

Consultation with stakeholders

Review

*Use 5.1.1 'Publication and multi-media' for production of HSE guidance on international standards*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### **3.5 Participation by HSL (and other contractors)**

Representational activity on standards for HSE.

Commissioning, progress and interaction with HSE.

Costs.

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

## 4. REGULATORY FUNCTIONS

Regulation of duty holders to promote compliance, including assessment and permissioning, inspection, investigation and enforcement.

### 4.1 Local Authorities: Enforcement Activities

Providing advice, information and guidance to enable local authorities to perform their statutory activities relating to assessment, permissioning and enforcement of health and safety legislation, including:

#### 4.1.1 Guidance

Reviewing, updating and distributing HELA Section 18 Guidance

Reviewing, updating and distributing Local Authority Circulars (LACs) and Petroleum Enforcement Liaison Circulars (PETELS)

Communications with local authorities on specific guidance issues either individually or in general

*Use 5.1.1 'Publication and multi-media' for guidance that is not solely aimed at local authority enforcement officers*

*Use 5.1.4 'HSE Website' for information issued solely on the Internet*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

#### 4.1.2 Monitoring and Auditing

Liaison with local authorities (LAs) both in general and individually

Managing the Audit Protocol and the Local Authority Health Return

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

#### 4.1.3 Training

Provision of training to local authority health and safety personnel to enable them to carry out their enforcement activities, eg.

Holding or facilitating training events

Producing training materials

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

#### **4.1.4 Local Authorities and HSE Working Together**

Documents relevant to the development of Local Authority/HSE partnership strategy, planning and management arrangements, partnership activities and joint working - including liaison and communication between Local Authority Unit and Partnership Teams.

*Use 1.1.2 'Strategic planning' for development and review of operational strategies*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

## **4.2 Land Use Planning**

Issuing advice and approval for new developments, installations or infrastructure

### **4.2.1 Planning Authorities: Advice**

Regulatory and advisory activities HSE is legally required to provide towards land use planning and control, eg.

Advising planning authorities on residual risk and giving notification of consultation zone for future development

Advising planning authorities of residual risk on the siting of new development in the vicinity of hazardous installations or transport infrastructure

Participation in planning inquiries if necessary

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	HSE Board	

## **4.3 Working with Other Regulators**

Provision of advice, information and guidance to enable other regulators to perform their statutory activities relating to assessment, permissioning and enforcement of health and safety legislation

*Use 5.3 'External agencies - liaison' for work with non-regulatory organisations*

*Use 4.1 'Local Authorities - enforcement activities' for work with local authorities*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder

<b>AUTHORITY:</b>	Approved/HSE Board
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#### 4.4 Permissioning

Processing safety reports/cases and issuing the relevant permissioning documents

*Use 4.9 'Enforcement' for action resulting from non-compliance*

##### 4.4.1 Safety Reports/Cases: Assessment

Processing of safety reports/safety cases submitted under various statutory schemes, eg.

COMAH reports

Railway safety cases

Offshore safety cases

Nuclear installations safety cases

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>EXCEPTIONS:</b>	(i)	OSD Safety Case System: 7 years after installation decommissioned
	(ii)	RI Safety Case System: 12 years from closure of folder
	(iii)	Nuclear Safety Case System: once superseded
<b>AUTHORITY:</b>	Approved/HSE Board	

##### 4.4.2 Permissioning Documents/Licensing/Statutory Notes

Applications from duty holders for 'permission documents', including licences, certification, exemptions, consents, approvals and appraisals

Statutory notifications to HSE, eg.

Notification of new substances (NONS)

Registration of biocides and pesticides

Safety zone orders

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>EXCEPTIONS:</b>		RI CRISP 1 System: Permanent
		NONS: <b>Paper:</b> 2 <sup>nd</sup> Review (25 years after file opened)
		Safety Zone Orders: <b>Paper:</b> 2 <sup>nd</sup> Review (25 years after file opened)
<b>AUTHORITY:</b>	Approved/HSE Board	

## 4.5 Inspection

Routine workplace and manufacture and supply site inspections. Records are arranged by duty-holder

*Use 4.7 'Investigations' for investigation of incidents or accidents*

*Use 4.9 'Enforcement' for action resulting from non-compliance*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>EXCEPTIONS:</b>	OSD Wells System: 2 <sup>nd</sup> Review (25 years after file opened) Inspector notebooks/diaries which <b>do not</b> contain information relating to ongoing investigations but contain details of inspection visits (1 year after creation or when full) Ionising radiation - health related: Files/folders to be retained for 50 years from date of last entry Asbestos / Compressed air / hazardous substances / lead exposure - health related: Files/folders to be retained for 40 years from date of last entry	
<b>AUTHORITY:</b>	Approved/HSE Board	

## 4.6 Targeted Intervention

Regulating duty holders other than by site visits, eg. by seminars, workshops and correspondence and requiring a positive response from duty holders

Liaising with intermediaries with the direct purpose of improving health and safety standards

*Use 5.1.3 'Stakeholder engagement' for seminars, etc. that are aimed at a wider audience than just duty holders*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	3 years after completion of intervention
<b>AUTHORITY:</b>	Approved/HSE Board	

## 4.7 Investigations

Investigation of incidents/accidents in response to a complaint, by information reported under RIDDOR or other reason, but not those designated major

*Use 4.5 'Inspection' for routine workplace inspections*

*Use 4.9 'Enforcement' for actions resulting from non-compliance*

*Use 4.8 'Major incident investigations' for investigation of an accident designated as a major incident by HSE*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>EXCEPTIONS:</b>	Ionising radiation - health related: Files/folders to be retained for 50 years from date of last entry Asbestos / Compressed air / hazardous substances / lead exposure - health	

	related: Files/folders to be retained for 40 years from date of last entry
<b>AUTHORITY:</b>	Approved/HSE Board

## 4.8 Major Incident Investigations

This section contains the records associated with the investigation of incidents/accidents designated 'major incident' by the Executive

### 4.8.1 Incident Investigation Team: Activities

Use 5.1.1 'Publications and multi-media' for production of HSE reports into results of investigations

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### 4.8.2 Internal Inquiries

Internal inquiries into accidents/incidents which do not result in the official publication of the results of the investigation

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### 4.8.3 Public Inquiries

HSE participation in a public inquiry following a major incident

HSE participation in monitoring progress on recommended actions

Use 4.2.1 'Planning authorities - Advice' for HSE participation in planning inquiries

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

## 4.9 Enforcement

Improvement Notices

Prohibition notices

Prosecutions

Use 4.5 'Inspection' for routine workplace inspections

Use 4.7 'Investigations' for investigations into accidents or incidents

Use 4.8 'Major incident investigations' for investigations into designated major accidents

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>EXCEPTIONS:</b>	Prosecution records (electronic) <b>reviewed</b> at 7 years (key documents likely retained permanently)	
<b>AUTHORITY:</b>	Approved/HSE Board	

#### 4.10 Emergency Arrangements

Development, testing, approval, regulation, monitoring and review of emergency response plans, including the co-ordination of arrangements, eg.

Emergency exercises

##### 4.10.1 Duty Holders: On-site Arrangements

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

##### 4.10.2 Local Authorities: Off-site Arrangements

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

##### 4.10.3 National Emergencies

Reports of practice exercises and recommendations for action

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

##### 4.10.4 HSE Emergency Arrangements

HSE's arrangements for its involvement in any emergency, eg. nuclear incident

Duty officer guidance

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

#### 4.11 Decommissioning and Liabilities Management

HSE's involvement in the decommissioning and liabilities management of nuclear and other hazardous installations

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	2 <sup>nd</sup> Review (25 years after file opened)
	<b>Electronic:</b>	7 years after installation decommissioned
<b>AUTHORITY:</b>	Approved/HSE Board	

## 5. EXTERNAL COMMUNICATIONS

Providing information and advice both proactively and in response to all external stakeholders, including duty holders and employees, government and international organisations, professional and industry bodies, other authorities and members of the public.

### 5.1 Proactive Communications

Preparing and providing information to explain and publicise legislation or guidance, including:

#### 5.1.1 Publications and Multi-media

Writing, production and distribution of HSE publications in all formats

*Use 4.1.1 'Guidance' for local authority circulars and HELAs*

*Use 5.1.4 'HSE Website' for information issued solely on the Internet*

*Use 5.4.5 'Media briefing' for press releases*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>EXCEPTIONS:</b>	<b><i>One copy of all original and revised publications are kept permanently as part of HSE's archives</i></b>	
<b>AUTHORITY:</b>	Approved/HSE Board	

#### 5.1.2 Events

Planning, holding and results of events held or attended specifically to publicise guidance or advice

*Use 5.4.5 'Media briefing' for press releases*

*Use 5.1.3 'Stakeholder engagement' for seminars, etc. aimed at specific industries or specific groups of stakeholders*

*Use 4.6 'Targeted intervention' for events aimed at specific groups of duty holders, ie. those who have a direct responsibility for health and safety of their employees*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	5 years
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

#### 5.1.3 Stakeholder Engagement

Meetings/correspondence with local liaison committees (LLCs) pressure groups, professional and industry groups and unions to publicise specific guidance or advice and to receive feedback

*Use 4.6 'Targeted intervention' for seminars, etc. that are aimed at duty holders*

*Use 2.1 'National policy' for consultation with stakeholders on national policies*

*Use 2.3.1 'EU policy' for consultation with stakeholders on EU policies*

*Use 2.3.2 'EU legislation' for consultation with stakeholders on EU legislation*

*Use 3.3 'European standards - Preparation' for consultation with stakeholders on European standards*

*Use 3.4 'International standards' for consultation with stakeholders on international standards*

*Use 4.3 'Working with other regulators' for consultation with other health and safety regulators*

*Use 4.1 'Local Authorities - enforcement activities of local authorities' for consultation with local authorities*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

#### **5.1.4 HSE Website**

Provision of information and advice via the HSE website, eg.

Planning the structure of the website

Drafting content and publishing web pages

Monitoring, reviewing and updating website content

<b>RETENTION PERIOD:</b>	Contains current document on Internet	
<b>Note:</b>	Planning records kept for 7 years from closure of folder	
<b>AUTHORITY:</b>	HSE Board	

#### **5.1.5 Campaigns**

Organisation of publicity campaigns

*Use 1.1.2 'Strategic planning' for development of a publicity campaign as a means of achieving an operational goal*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	5 years
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

## **5.2 External Enquiries**

Responding to general enquiries on health and safety matters via correspondence, email and telephone, including work of InfoLine and enquiries from outside the HSE dealt with by the library and information service

Use 5.4.1 'Official enquiries - responses' for official requests for information from MPs, etc.

### 5.2.1 General Enquiries: Responses

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	2 years after last action
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

### 5.2.2 Disclosure

Responses to enquiries requiring the disclosure or otherwise of information governed by legislation or national policy, eg.

Civil disclosure

Data Protection Act (non-employees)

Open Government

\*Fol Requests

EIR Requests

Use 1.6.2 'Conditions of employment' for subject access requests by current or ex-HSE staff under the Data Protection Act

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	2 years after last action on the case
<b>AUTHORITY:</b>	<a href="#">Approved/HSE Board/*The National Archives Retention Scheduling 9: Information Management Record</a>	

## 5.3 External Agencies: Liaison

Co-operating with and providing advice and assistance to external bodies to ensure best practice and effective joint working, including national and foreign governments, international agencies, other enforcement agencies, European Focal Point.

Use 4.3 'Working with other regulators' for liaison with other health and safety regulators

### 5.3.1 Agency Agreements

Formulation and enactment of agency agreements with other government departments

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### 5.3.2 Memoranda of Understanding (MOUs)

Formulation and enactment of memoranda of understanding (MOUs) with other government departments and agencies such as local authorities. Also includes statements of intent

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	5 years after lifespan of agreement
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<b>AUTHORITY:</b>	The National Archives advice/HSE Board
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### **5.3.3 Other Government Departments (OGDs)**

Initiatives that are undertaken jointly between the HSE and OGDs, eg.

Bilateral meetings

Healthy Workplace Initiative

Interdepartmental Liaison Group on Risk Assessment (ILGRA)

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	5 years after lifespan of programme
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

### **5.3.4 Non-Governmental Organisations**

HSE's co-operation with and participation in non-governmental groups, charities, trade associations and professional societies

*Use 5.1.3 'Stakeholder engagement' for meetings, etc. to publicise specific guidance*

*Use 4.1.2 'Monitoring and auditing' for liaison with local authorities*

*Use 2.1 'National policy' for consultation with stakeholders on national policies*

*Use 2.3.1 'EU policy' for consultation with stakeholders on EU policies*

*Use 2.3.2 'EU legislation' for consultation with stakeholders on EU legislation*

*Use 3.3.1 'Preparatory work' for consultation with stakeholders on European standards*

*Use 3.4 'International standards' for consultation with stakeholders on international standards*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	5 years after lifespan of programme
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

### **5.3.5 EU Agencies**

Work undertaken by HSE either jointly or on behalf of EU agencies, eg.

UK Focal Point for the European Agency for Safety and Health at Work

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	5 years after lifespan of programme
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

### **5.3.6 International Agencies**

Work undertaken by HSE either jointly or on behalf of international agencies including non-EU agencies in Europe.

Use 5.3.5 'EU agencies' for work with EU agencies

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	5 years after lifespan of programme
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

### **5.3.7 National Agencies in Other Countries**

Work carried out jointly or on behalf of agencies in other countries, eg.

Secondments

Assistance to developing countries

Use 1.6.1 'Employee files' for records relating to individual staff members working on secondment

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	5 years after lifespan of programme
<b>AUTHORITY:</b>	The National Archives advice/HSE Board	

## **5.4 Official Enquiries and Briefings**

Responding to enquiries of a formal or official nature, such as briefing ministers, preparing responses to parliamentary questions

### **5.4.1 Official Enquiries: Responses**

Official enquiries and their responses forwarded to the relevant HSE section for draft reply  
Enquiries put to the HSC Chairman (Chairman's Office case - COs)

Enquiries put to the HSE Director General (Director General Office case - DGOs)

Enquiries put to Ministers (Private Secretaries Office Case - PSOs)

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	10 years
	<b>Electronic:</b>	7 years from closure of folder
<b>Note:</b> Retain duplicate of responses relating to major policy/procedural issues with relevant files		
<b>AUTHORITY:</b>	Approved/HSE Board	

### **5.4.2 Official Briefings: Responses**

Briefing requests and their responses received by the HSE Secretariat from:

Private Offices of other Government Departments

Parliamentary Select and Standing Committees

MPs

The Executive

HSC

Department for Work and Pensions (DWP) case policy briefings

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	7 years
<b>Note:</b> Retain duplicate of briefings relating to major policy/procedural issues with relevant files		
<b>AUTHORITY:</b>	Approved/HSE Board	

#### ***5.4.3 Speeches and Interviews***

Preparation and delivery of speeches and interviews on behalf of ministers and other officials as well as those prepared by the Executive for their own use.

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	7 years
<b>Note:</b> Retain duplicate of final drafts relating to major policy/procedural issues with relevant files		
<b>AUTHORITY:</b>	Approved/HSE Board	

#### ***5.4.4 Parliamentary Questions (PQs)***

HSE responses to oral and written PQs received from a government department

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	2 <sup>nd</sup> Review (25 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>Note:</b> (i) PQ information will appear in public domain in "Hansard" (ii) Retain duplicate of responses relating to major policy/procedural issues with relevant files		
<b>AUTHORITY:</b>	Approved/HSE Board	

#### ***5.4.5 Media Briefing***

Preparation, publication and distribution of press releases, the holding of press conferences and other official communications with the media.

*Use 4.8 'Major incident investigations' for press releases, etc. relating to a major accident*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	7 years
<b>AUTHORITY:</b>	<a href="#">The National Archives Retention Scheduling 8: Press and Public Relations Records</a>	

## 6. RESEARCH AND SCIENTIFIC SUPPORT

Gathering relevant information and knowledge and making it available within the HSE to establish priorities and to facilitate policy formulation and work planning.

This section is structured in accordance with HSE's science and innovation system categories and topics. A separate folder should be created for each project under the appropriate topic. If it is necessary to break a research project down further the following headings are suggested for specific parts of the project:

Planning/Data gathering/Data analysis

Use 1.11.4 'Procurement by contract' for commissioning research projects and research contracts

### 6.1 Fire, Explosion and Process Safety Research

#### 6.1.1 Explosions: Vapour Release

#### 6.1.2 Explosions: Gas

#### 6.1.3 Explosions: Dust

#### 6.1.4 Fires

#### 6.1.5 Explosives and Reactive Chemicals

#### 6.1.6 Ignition from Electricity

#### 6.1.7 Natural (Geological and Meteorological)

#### 6.1.8 Other

(eg. Aircraft Strike)

#### 6.1.9 Fire Explosion and Process Safety: Scientific Supp

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	(Final research reports and working papers); Review at 15 years
<b>AUTHORITY:</b>	Approved/HSE Board	

### 6.2 Engineering Research

#### 6.2.1 Mechanical and Materials

#### 6.2.2 Civil & Construction

#### 6.2.3 Environmental Forces

#### 6.2.4 Machine Safety

#### 6.2.5 Electrical

#### 6.2.6 Computer Related Issues

**6.2.7 Wells and Well Operations****6.2.8 Decommissioning and Dismantling****6.2.9 Scientific Support****6.2.10 Marine Engineering and Naval Architecture**

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	(Final research reports and working papers); Review at 15 years
<b>AUTHORITY:</b>	Approved/HSE Board	

**6.3 Work Environment Research****6.3.1 Monitoring of Gases****6.3.2 Monitoring of Dusts****6.3.3 Control of Airborne Contaminants**

Eg. Ventilation

**6.3.4 Noise****6.3.5 Vibration****6.3.6 Protective Equipment****6.3.7 Radiation****6.3.8 Analytical Methods****6.3.9 Ergonomics (Measurement and Control)****6.3.10 Work Environment: Scientific Support**

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	(Final research reports and working papers); Review at 15 years
<b>AUTHORITY:</b>	Approved/HSE Board	

**6.4 Occupational Health Research****6.4.1 Chemical Hazards****6.4.2 Biological Hazards****6.4.3 Physical Hazards****6.4.4 Mental Health and Stress****6.4.5 Musculoskeletal Hazards****6.4.6 Workplace Health Surveillance**

**6.4.7 Epidemiology****6.4.8 Occupational Health Provision**

(inc First Aid)

**6.4.9 Ionising Radiation****6.4.10 Occupational Health: Scientific Support**

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	(Final research reports and working papers); Review at 15 years
<b>AUTHORITY:</b>	Approved/HSE Board	

**6.5 Behavioural and Social Sciences Research****6.5.1 Behavioural Science****6.5.2 Socio-Economics of Health and Safety****6.5.3 Effectiveness of the H&S Framework**

(including operational research)

**6.5.4 International Comparisons****6.5.5 Behavioural Toxicology/Occupational Psychology****6.5.6 Human Factors****6.5.7 Management and Organisational Factors****6.5.8 Evacuation, Escape and Rescue****6.5.9 Behavioural and Social Sciences: Scientific Support**

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	(Final research reports and working papers); Review at 15 years
<b>AUTHORITY:</b>	Approved/HSE Board	

**6.6 Risk Assessment Research****6.6.1 General Methodologies and Criteria****6.6.2 Risk Assessment Tools****6.6.3 Risk Assessment Analyses****6.6.4 Probabilities****6.6.5 Consequences****6.6.6 Mitigation**

**6.6.7 Reliability****6.6.8 Expert Systems****6.6.9 Health Effects****6.6.10 Risk Assessment: Scientific Support**

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	(Final research reports and working papers); Review at 15 years
<b>AUTHORITY:</b>	Approved/HSE Board	

**6.7 Nuclear Safety Research****6.7.1 Nuclear Research Index (NRI)**

Determination of projects for inclusion

Compilation and publication of the NRI

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	5 years after last action
<b>AUTHORITY:</b>	Approved/HSE Board	

**6.7.2 Chemical Processes****6.7.3 Civil Engineering****6.7.4 Control and Instrumentation****6.7.5 External Events****6.7.6 Fuel****6.7.7 Graphite****6.7.8 Human Factors****6.7.9 Nuclear Physics****6.7.10 Nuclear Systems and Equipment****6.7.11 Plant Life Management: Steel Components****6.7.12 Plant Modelling****6.7.13 Probabilistic Safety Analysis (PSA)****6.7.14 Radiological Safety****6.7.15 Waste and Decommissioning****6.7.16 Nuclear Safety Support**

### For sections 6.7.2 - 6.7.15

File individual research projects under this topic area by project title, project number and contractor

General discussions with licensees on progress of programmes of research, etc. in this area will be filed here but separate from individual research projects

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	(Final research reports and working papers); Review at 25 years
<b>Note:</b> Keep records of discussions with licensees for 5 years after end of research programme		
<b>AUTHORITY:</b>	Approved/HSE Board	

Work contracted out by NSD to provide additional technical assessment to support safety assessment work being undertaken by NSD as parts of its regulatory activity. File titles need to include details of the contractor, the project and project number

### 6.8 Research Dissemination

Dissemination of the research findings to a wider audience.

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	Review at 25 years
<b>AUTHORITY:</b>	Approved/HSE Board	

### 6.9 Research Evaluation

Final evaluation of the research, to ascertain whether it met its immediate objectives and to put forward improvement measures for mainstream research programme

*Use 7.2.4 'Data Analysis' for evaluation of data and intelligence that has been collected through means other than formal research*

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	15 years after completion of research project
<b>AUTHORITY:</b>	Approved/HSE Board	

## 7. STATISTICS AND DATA COLLECTION

Routine data collection where this is not part of a specific research project. This includes: capturing, organising, analysing and interpreting external data, field intelligence and internal information on health and safety issues and compiling statistics.

### 7.1 Horizon Scanning

Proactive seeking of intelligence to inform future planning, eg.

Collating evidence from research and surveys

Collection of evidence from meetings of Focus Groups, etc.

Correspondence and communications with stakeholders

Science white papers

Collection of information for possible future use

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	6 years
<b>AUTHORITY:</b>	Approved/HSE Board	

### 7.2 Statistics

Systems for the formal and informal capture of raw data and pre-digested material from field intelligence and external and internal sources and the subsequent analysis and presentation of this data, eg.

CIS

ORION

MIDAS

OG Core

FOCUS database operations

RIDDOR incident reporting

Nuclear incidents

SIGNAL

LAI = Annual Return from Local Authorities (see also 4.1)

National Enforcement Database

#### **7.2.1 Capturing Statistics**

Processes and procedures associated with capture of statistical data.

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### **7.2.2 Quality Assurance and Standards**

Ensuring that data collected are consistent with the standards set out in the national framework for statistics

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### **7.2.3 Data Organisation**

Arrangement and storage of data for ease of retrieval

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### **7.2.4 Data Analysis**

Analysing, interpreting and synthesising collected intelligence into usable and meaningful formats, eg.

Policy and project impact evaluation

Production of annual statistical reports

Labour Force Survey

Analysis of enquiries received

*Use 5.1.1 'Publication and multi-media' for physical publication of the reports*

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

### **7.2.5 Dissemination**

Dissemination of data analysed by HSE

<b>RETENTION PERIOD:</b>	<b>Paper &amp; Electronic:</b>	Review at 25 years
<b>AUTHORITY:</b>	Approved/HSE Board	

**7.2.6 Evaluation**

Evaluation of the data collected by HSE and its analysis.

<b>RETENTION PERIOD:</b>	<b>Paper:</b>	1 <sup>st</sup> Review (9 years after file opened)
	<b>Electronic:</b>	7 years from closure of folder
<b>AUTHORITY:</b>	Approved/HSE Board	

See National Archives website at:

<http://www.nationalarchives.gov.uk/recordsmanagement/advice/schedules.htm>

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