

Business Classification Scheme and Disposal Schedule

Version 18

November 2015

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Version	Date	Amended by	Comments
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INTRODUCTION

Purpose of the Business Classification Scheme (BCS)

The BCS is designed to help organise and manage HSE documentation in the EDRM system (TRIM). This includes:

- Registered Files - paper files created and recorded by Records Management Unit pre 2006.
- Electronic documents and records post 2006

An Electronic Document and Records Management (EDRM) system, TRIM, was introduced in 2006 to manage both electronic documents and paper-based files throughout HSE. This gives staff authorised access via desktop to HSE documentation and files via a single system. The BCS underpins the electronic system and provides the basis for processing and managing the lifecycle of HSE records.

Functional Analysis

The BCS provides a common and consistent framework for handling documentation across HSE. It is intended to support programme and project-based working and is derived from a functional analysis of HSE. This approach was adopted throughout the Civil Service and endorsed by The National Archives. The actual headings were derived from the HSE Common Process Map, consultations with Directorates and examination of existing registered file categories.

The BCS 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 ONR's research categories.

Some Definitions

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

- Business Classification Scheme - a classification system used for managing paper files and electronic records. The National Archives definition is "structured scheme of categories in which files are grouped - a taxonomy".

- 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. Documents become Records once they have been finalised in TRIM.
- Electronic Record - one or more linked electronic documents plus record metadata - the electronic equivalent of a paper file.
- Folder - collection of documents/records on a specific topic that are held together for management and disposal as a single entity (either hard copy or electronic).
- Hybrid Folder - is comprised of two parts, an electronic folder and an associated registered paper file. Both the electronic folder and the registered paper file have the same number and name.
- 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 are Documents that have been finalised in TRIM.
- Registered File - a paper file created and recorded by Records Management Unit pre 2006.
- Scanned Document - an electronic image of a paper document. This is generally not a revisable document.
- 1st Review of registered paper files i.e. created pre 2006 is currently carried out when a file is 7 years old.
- 2nd Review of registered paper files i.e. created pre 2006 is currently carried out when a file is 15 years old.

How it Works

The BCS has many similarities to the previous system of Registered Files, in that a folder (or file) is registered under a particular category. The main difference is that rather than allocating a block of categories to each directorate or division, the BCS encompasses the whole of the HSE.

When new documents are created they can be in either electronic or paper form. They should be filed on the appropriate electronic database for our corporate information, either TRIM or COIN or filed on a hard copy folder once registered electronically.

Electronic documents sit inside electronic folders in TRIM. These folders take on the classification title under which they are opened, for example a complete folder title would look like this:

BUSINESS SUPPORT & MANAGEMENT - Human Resource Management – Recruitment - RECRUITMENT PANELS - INTERNAL - 1 APRIL 2012 - 31 MARCH 2013

In exceptional circumstances users may be required to apply Access Controls. Such circumstances would cover information that deals with sensitive personal issues or covers the development of high level corporate management matters. Access controls are managed at folder level, not at document level so documents and records acquire the access and security settings of their folder.

All of this information about folders and records in TRIM is known as 'metadata'. Other metadata such as creator and date created is assigned automatically.

A scope note is included under each heading in the BCS showing examples of the type of information applicable to that part of the BCS.

Benefits of the BCS

The BCS 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:

- Assists with meeting e-government metadata standards and corporate data management.
- Consistent management of records - the system allows for application of standard disposal 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.
- 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 access controls).
- Improved retrieval - there is one system for locating all HSE registered records, regardless of topic or originating department.
- Integrated system for electronic records and physical files
- 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.

Disposal Schedule

A box containing the recommended disposal period is given for each heading in the BCS and the disposal period applies to all records in that category by default. This helps with the management and review of the records and ensures that they are destroyed at the right time.

There are exceptions to the default period for certain records and these are detailed in guidance provided by HSE's Directorates and Divisions. Links are provided in the BCS where appropriate. Managers are invited to contact the Records Management Unit to discuss their disposal requirements if they differ from those recommended. Typically these will be driven by business need.

If in exceptional circumstances information is required for longer than its disposal period, the information can be retained for up to a maximum of 15 years. Any extensions applied are final and Sections will not be consulted when the extension comes to an end.

Information that is required for longer will need a Lord Chancellors Instrument (LCI) which requires a business case and is subject to approval by the Lord Chancellor.

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

- Approved disposal - based on proposed disposal periods that have been considered and approved by The National Archives
- Business need
- 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

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

We should emphasise the importance of keeping the disposal 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.

EXEMPTIONS TO THE DEFAULT DISPOSAL SCHEDULE	
Cases Enforcement - No Deletion	Business Classification Scheme - Location
Notices	4.9
Prosecutions	4.9
Crown Censure	4.9
Cases Permissioning - No Deletion	
Asbestos Licence	4.4.2.
Authorisation-Conv Interoperability	4.4.2.
Authorisation- HS Interoperability	4.4.2.
Biological COSHH Notification	4.4.1.
COMAH Safety Report	4.4.1.
Biological GM Notification	4.4.2.
GSRM Safety Case	4.4.1.
Hazardous Substances Consent	4.4.2.
Licence - Explosives	4.4.2.
Mining Issues	4.4.2.
ONR Issues	4.4.2.
OSD Safety Case	4.4.1.

EXEMPTIONS TO THE DEFAULT DISPOSAL SCHEDULE	
Cases Enforcement - No Deletion	Business Classification Scheme - Location
Pipelines	4.4.2.
Service Orders - No Deletion	
Offshore Safety Case	4.4.1.
Cases Permissioning - 12 Year Retention	
Well Notification	4.5.

Management of BCS and Disposal Schedule

The Business Classification Scheme will be maintained by the Records Management Unit in BSD who will make amendments and additions as necessary whenever the legislation, National Archive guidance or business needs to retain types of information, changes.

Please forward any comments to Records Management Unit (trim.support@hse.gsi.gov.uk)

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.

DISPOSAL PERIOD:	Paper Pre-2006	Review to be undertaken by Records Management Unit 25 years after file opened . NO FIRST REVIEW
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Records Management Unit 15 years after folder closed .
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records – Paper & Electronic	7 years after folder closed
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

1.1.3 Business Planning

Development of annual business plan

Developing objectives

DISPOSAL PERIOD:	All Records – Paper & Electronic	7 years after folder closed
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AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)
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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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records – Paper & Electronic	7 years after folder closed
AUTHORITY:	HSE Senior Management Team (SMT)	

1.2.2 Planning Staffing Needs

Planning of human resources, eg.

Reviewing staffing needs and planning for re-structuring

Human Resources Conference organisation and proceedings

Use 1.6.9 'Staff Performance' for Line Management of HSE staff

DISPOSAL PERIOD:	All Records – Paper & Electronic	7 years after folder closed
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records – Paper & Electronic	7 years after folder closed
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records – Paper & Electronic	6 years after folder closed
AUTHORITY:	The National Archives	

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 1.6.11 'Staff relations' for staff attitude surveys

Use 1.1.2 'Strategic planning' for review of operational strategies

DISPOSAL PERIOD:	All Records – Paper & Electronic	7 years after folder closed
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

1.4 Risk Management

Identifying risks

Minimising risks

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	The National Archives	

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

DISPOSAL PERIOD:	All Records – Paper & Electronic	7 years after folder closed
Notes: (i) Retain translation originals with relevant policy/procedural file		
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records – Paper & Electronic	5 years after folder closed
AUTHORITY:	HSE Senior Management Team (SMT)	

1.5.4 Internal Helplines

Provision of helplines to staff, eg.

Refit Service Desk

Personnel Helpline

DISPOSAL PERIOD:	All Records – Paper & Electronic	2 years after folder closed
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	7 years after folder closed	
AUTHORITY:	HSE Senior Management Team (SMT)	

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 'Planning Staffing Needs' for reviews of staffing numbers, etc.

1.6.1 Employee Files

HSE employee files

For use by Human Resources Directorate only

DISPOSAL PERIOD:	Until employee aged 72 or 5 years after death, whichever is earlier
AUTHORITY:	The National Archives

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

DISPOSAL PERIOD:	Employee security records: 5 years after retirement or 10 years after leaving if before retirement age
All Records – Paper & Electronic	
AUTHORITY:	The National Archives

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 HR staff records

DISPOSAL PERIOD: All Records – Paper & Electronic	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/folder
	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 on file/folder
	Radiation (Ionising Radiation Regulations 1985): 50 years from date of last entry on file/folder
AUTHORITY:	The National Archives

DISPOSAL PERIOD: All Records – Paper & Electronic	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 date created
	Training, guidance and instructions: 3 years after date created
	Risk assessment reports and reviews: 1 st Review – 9 years after folder opened for paper pre-2006. For electronic/hybrid & paper only 2006 onwards, a review to be done 7 years after folder closed .
AUTHORITY:	The National Archives

1.6.4 Recruitment

Production of Vacancy Matters

Job descriptions

Recruitment exercises

Post-filling

DISPOSAL PERIOD:	All Records – Paper & Electronic	1 year after folder closed
AUTHORITY:	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

DISPOSAL PERIOD: All Records – Paper & Electronic	Records relating to individual employee files: until aged 72 or 5 years after death, whichever is earlier (see 1.6.1 above)
AUTHORITY:	The National Archives

DISPOSAL PERIOD: All Records – Paper & Electronic	Keep records relating to general matters about termination of employment for 5 years after last action
AUTHORITY:	HSE Senior Management Team (SMT)

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

DISPOSAL PERIOD: All Records – Paper & Electronic	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
AUTHORITY:	The National Archives

DISPOSAL PERIOD:	Salary ledger records; records relating to pay reviews, negotiations and structures: 6 years from date created
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All Records – Paper & Electronic	Payroll sheets; records relating to production of Pay Matters: 2 years from date created
AUTHORITY:	The National Archives

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
Note: Keep locally held records: 2 years from date created		
AUTHORITY:	The National Archives	

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

DISPOSAL PERIOD:	All Records – Paper & Electronic	6 years after folder closed
AUTHORITY:	The National Archives	

1.6.9 Staff Performance

(Line Management of HSE staff)

Managing attendance/sickness

Managing/monitoring staff

Promotion

Staff appraisals

Use 1.6.1 'Employee files' for HR staff records

Use 1.1.4 'Corporate policies' for HSE policies

DISPOSAL PERIOD:	All Records – Paper & Electronic	5 years after folder closed
AUTHORITY:	The National Archives	

1.6.10 Disciplinary Cases

Management of staff conduct

Use 1.6.1 'Employee files' for HR staff records

Use 1.6.2 'Conditions of employment' for generic guidance

DISPOSAL PERIOD:	Paper:	Records of serious disciplinary actions in sealed envelope in employee file. Otherwise retain both paper and electronic for 6 years after folder closed
AUTHORITY:	HSE Senior Management Team (SMT)	

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)

DISPOSAL PERIOD: All Records – Paper & Electronic	5 years after folder closed
EXCEPTION	Records relating to external complaints, which should be retained for 10 years after file opened
AUTHORITY:	The National Archives

1.6.12 Staff Relocation

Relocation of new and existing HSE staff

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

DISPOSAL PERIOD:	All Records – Paper & Electronic	6 years after end of financial year to which they relate
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records – Paper & Electronic	6 years after end of financial year to which they relate
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records – Paper & Electronic	6 years after end of financial year to which they relate
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records – Paper & Electronic	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
AUTHORITY:	The National Archives	

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

DISPOSAL PERIOD:	All Records – Paper & Electronic	Keep asset and depreciation records for 6 years after end of financial year to which they relate
AUTHORITY:	The National Archives	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

1.8.2 Civil Claims

Individual legal civil claims case files

DISPOSAL PERIOD:	All Records – Paper & Electronic	15 years after last action
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	The National Archives	

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

DISPOSAL PERIOD:	All Records – Paper & Electronic	2 years after folder closed
AUTHORITY:	The National Archives	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	The National Archives	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records – Paper & Electronic	5 years after folder closed
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records – Paper & Electronic	5 years after folder closed
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records – Paper & Electronic	6 years after end of financial year to which they relate
AUTHORITY:	The National Archives	

1.11.4 Contracts

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

Research contracts

DISPOSAL PERIOD: All Records – Paper & Electronic	Statements of interest and unsuccessful tender documents: 2 years after folder closed	
	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 7 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	
AUTHORITY:	The National Archives	

1.11.5 Contract Management

Management and monitoring of contracts, including outsourcing.

DISPOSAL PERIOD:	All Records – Paper & Electronic	6 years after the end of contract
AUTHORITY:	The National Archives	

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

DISPOSAL PERIOD:	All Records – Paper & Electronic	6 years after disposal of assets
AUTHORITY:	The National Archives	

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

DISPOSAL PERIOD:	All Records – Paper & Electronic	2 years after folder closed
AUTHORITY:	The National Archives	

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

DISPOSAL PERIOD:		
Records relating to a specific property:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
Records relating to a specific project:	All Records – Paper & Electronic	5 years after completion of project
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:		
(i) Records relating to a specific property:	All Records – Paper & Electronic	5 years after property has been disposed of or is no longer occupied by the HSE
(ii) Records relating to a specific project:	All Records – Paper & Electronic	5 years after completion of project.
(iii) Records of health and safety inspections:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to Retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
(iv) Records relating to Estate planning:	All Records – Paper & Electronic	12 years from date created
AUTHORITY:	HSE Senior Management Team (SMT) *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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).

AUTHORITY:	HSE Senior Management Team (SMT)
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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)

DISPOSAL PERIOD:	Paper Pre-2006	Review to be undertaken by Records Management Unit 25 years after file opened . NO FIRST REVIEW
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Records Management Unit 15 years after folder closed .
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
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	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

1.15 Executive and Board Support (DO NOT USE – SEE 1.19)

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

DISPOSAL PERIOD:	Paper Pre-2006	Review to be undertaken by Records Management Unit 25 years after file opened . NO FIRST REVIEW
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Records Management Unit 15 years after folder closed .
AUTHORITY:	HSE Senior Management Team (SMT)	

1.15.2 Internal Committees and Groups

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

Meetings: agendas, papers, minutes

Correspondence

DISPOSAL PERIOD:	Paper Pre-2006	Review to be undertaken by Records Management Unit 25 years after file opened . NO FIRST REVIEW
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	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Records Management Unit 15 years after folder closed .
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	Review to be undertaken by Records Management Unit 25 years after file opened . NO FIRST REVIEW
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Records Management Unit 15 years after folder closed .
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

1.18 Internal Meetings

Management meetings

Team/Section meetings

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

1.19 HSE Board April 2008 onwards

All aspects of administration of HSE Board business including Board meetings

HSE Board meetings: agendas, papers, minutes

DISPOSAL PERIOD:	Paper Pre-2006	Review to be undertaken by Records Management Unit 25 years after file opened . NO FIRST REVIEW
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Records Management Unit 15 years after folder closed .
AUTHORITY:	HSE Senior Management Team (SMT)	

1.20 HSE Senior Management Team (SMT)

All aspects of administration of HSE SMT business including SMT meetings

HSE SMT meetings: agendas, papers, minutes

DISPOSAL PERIOD:	Paper Pre-2006	Review to be undertaken by Records Management Unit 25 years after file opened . NO FIRST REVIEW
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Records Management Unit 15 years after folder closed .
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

1.21.6 Counter Terrorism SP6

Counter terrorism security policy and plans

Government response and threat levels

Counter terrorism incidents, reports and reviews

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

1.21.7 Business Continuity SP7

Business continuity policy

Business continuity assurance

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
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	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
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	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

2.3.2 Legislation

Formulation, drafting and review of EU legislation

Consultation with stakeholders

Working groups

Regulatory impact assessments (RIAs)

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

2.3.3 Nuclear Safety Co-operation

Euratom Treaty

European co-operation on nuclear safety

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

2.4.2 Legislation

Expert Working Groups - participation

Formulation, drafting and revision of international legislation

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

2.4.3 Treaties and Co-operation

Bi-lateral national agreements

Agreements between the UK and other countries

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

3.3.2 CEN Standards

Development of a CEN standard.

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

3.3.3 CENELEC Standards

Development of a CENELEC standard.

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).

AUTHORITY:	HSE Senior Management Team (SMT)
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3.3.4 Harmonised Standard: Formal Objection

Preparation of a formal objection to a harmonised standard

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

3.3.5 Monitoring Effectiveness

Monitoring impact of standards on health and safety

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

3.5 Participation by HSL (and other contractors)

Representational activity on standards for HSE.

Commissioning, progress and interaction with HSE.

Costs.

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

RETENTION PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
EXCEPTIONS:	(i) OSD Safety Case System: 7 years after installation decommissioned	
	(iii) Nuclear Safety Case System: once superseded	
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
	NONS: Paper : Review to be undertaken by Records Management Unit 25 years after file opened . NO FIRST REVIEW	
	Safety Zone Orders: Paper : Review to be undertaken by Records Management Unit 25 years after file opened . NO FIRST REVIEW	
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
EXCEPTIONS:	OSD Wells System: Review to be undertaken by Records Management Unit 25 years after file/folder opened. Inspector notebooks/diaries which do not 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 in file/folder Asbestos / Compressed air / hazardous substances / lead exposure - health related: Files/folders to be retained for 40 years from date of last entry in file/folder	
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records - Paper & Electronic	3 years after completion of intervention
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
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	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
EXCEPTIONS:	Ionising radiation - health related: Files/folders to be retained for 50 years from date of last entry in file/folder Asbestos / Compressed air / hazardous substances / lead exposure - health related: Files/folders to be retained for 40 years from date of last entry in file/folder	
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

4.8.2 Internal Inquiries

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

RETENTION PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
EXCEPTIONS:	Prosecution records (electronic) reviewed at 7 years from closure of folder (key documents likely retained permanently) e.g. Buncefield Fire, Piper Alpha and ICL Plastics explosions	
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

4.10.2 Local Authorities: Off-site Arrangements

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

4.10.3 National Emergencies

Reports of practice exercises and recommendations for action

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

4.10.4 HSE Emergency Arrangements

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

Duty officer guidance

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

4.11 Decommissioning and Liabilities Management

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

DISPOSAL PERIOD:	Paper Pre-2006:	Review to be undertaken by Records Management Unit 25 years after file opened . NO FIRST REVIEW
	Electronic:	7 years after installation decommissioned
AUTHORITY:	HSE Senior Management Team (SMT)	

4.12 Regulatory Assurance

Information that provides assurance that regulation is delivering safe operation

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

4.12.1 Regulatory Assurance - Programme Standard Information

Standard information regarding the delivery of regulatory assurance

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

4.12.2 Regulatory Assurance - Regulatory Strategy

Information that generates and monitors strategic activity in regulation

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
EXCEPTIONS:	<i>One copy of all original and revised publications are kept permanently as part of HSE's archives</i>	
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records - Paper & Electronic	5 years after folder closed
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	7 years after folder closed
Note:	Planning records kept for 7 years after folder closed
AUTHORITY:	HSE Senior Management Team (SMT)

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

DISPOSAL PERIOD:	All Records - Paper & Electronic	5 years after folder closed
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records - Paper & Electronic	2 years after last action
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records - Paper & Electronic	2 years after last action
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records - Paper & Electronic	5 years after lifespan of agreement
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

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)

DISPOSAL PERIOD:	All Records - Paper & Electronic	5 years after lifespan of programme
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records - Paper & Electronic	5 years after lifespan of programme
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records - Paper & Electronic	5 years after lifespan of programme
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records - Paper & Electronic	5 years after lifespan of programme
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

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 HR records relating to individual staff members working on secondment

DISPOSAL PERIOD:	All Records - Paper & Electronic	5 years after lifespan of programme
AUTHORITY:	The National Archives / HSE Senior Management Team (SMT)	

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)

DISPOSAL PERIOD:	Paper Pre-2006	10 years after file opened
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
Note: Retain duplicate of responses relating to major policy/procedural issues with relevant files		
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records - Paper & Electronic	7 years after folder closed
Note: Retain duplicate of briefings relating to major policy/procedural issues with relevant files		
AUTHORITY:	HSE Senior Management Team (SMT)	

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.

DISPOSAL PERIOD:	All Records - Paper & Electronic	7 years after folder closed
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Note: Retain duplicate of final drafts relating to major policy/procedural issues with relevant files	
AUTHORITY:	HSE Senior Management Team (SMT)

5.4.4 Parliamentary Questions (PQs)

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

DISPOSAL PERIOD:	Paper Pre-2006	Review to be undertaken by Records Management Unit 25 years after file opened . NO FIRST REVIEW
	Electronic /Hybrid & Paper Only 2006 Onwards	7 years after folder closed
Note: (i) PQ information will appear in public domain in "Hansard" (ii) Retain duplicate of responses relating to major policy/procedural issues with relevant files		
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records - Paper & Electronic	7 years after folder closed
AUTHORITY:	The National Archives	

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

DISPOSAL PERIOD:	All Records - Paper & Electronic	(Final research reports and working papers); 15 years after folder closed
AUTHORITY:	HSE Senior Management Team (SMT)	

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**

DISPOSAL PERIOD:	All Records - Paper & Electronic	(Final research reports and working papers); 15 years after folder closed
AUTHORITY:	HSE Senior Management Team (SMT)	

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**

DISPOSAL PERIOD:	All Records - Paper & Electronic	(Final research reports and working papers); 15 years after folder closed
AUTHORITY:	HSE Senior Management Team (SMT)	

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**

DISPOSAL PERIOD:	All Records - Paper & Electronic	(Final research reports and working papers); 15 years after folder closed
AUTHORITY:	HSE Senior Management Team (SMT)	

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**

DISPOSAL PERIOD:	All Records - Paper & Electronic	(Final research reports and working papers); 15 years after folder closed
AUTHORITY:	HSE Senior Management Team (SMT)	

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**

DISPOSAL PERIOD:	All Records - Paper & Electronic	(Final research reports and working papers); 15 years after folder closed
AUTHORITY:	HSE Senior Management Team (SMT)	

6.7 Nuclear Safety Research**6.7.1 Regulatory Research Register (RRR)**

Determination of projects for inclusion

Compilation and publication of the RRR

DISPOSAL PERIOD:	All Records - Paper & Electronic	5 years after last action
AUTHORITY:	HSE Senior Management Team (SMT)	

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

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**

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

DISPOSAL PERIOD:	Paper Pre-2006	(Final research reports and working papers); Review to be undertaken by Records Management Unit 25 years after file/folder opened . NO FIRST REVIEW
	Electronic /Hybrid & Paper Only 2006 Onwards	(Final research reports and working papers); Review to be undertaken by Records Management Unit 15 years after folder closed .
Note: Keep records of discussions with licensees for 5 years after end of research programme		
AUTHORITY:	HSE Senior Management Team (SMT)	

6.8 Research Dissemination

Dissemination of the research findings to a wider audience.

DISPOSAL PERIOD:	Paper Pre-2006	Review to be undertaken by Records Management Unit 25 years after file/folder opened . NO FIRST REVIEW
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Records Management Unit 15 years after folder closed .
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records - Paper & Electronic	15 years after completion of research project
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	All Records - Paper & Electronic	6 years after folder closed
AUTHORITY:	HSE Senior Management Team (SMT)	

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.

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

7.2.2 Quality Assurance and Standards

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

7.2.3 Data Organisation

Arrangement and storage of data for ease of retrieval

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

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

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

7.2.5 Dissemination

Dissemination of data analysed by HSE

DISPOSAL PERIOD:	Paper Pre-2006	Review to be undertaken by Records Management Unit 25 years after file opened . NO FIRST REVIEW
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Records Management Unit 15 years after folder closed .
AUTHORITY:	HSE Senior Management Team (SMT)	

7.2.6 Evaluation

Evaluation of the data collected by HSE and its analysis.

DISPOSAL PERIOD:	Paper Pre-2006	1 st Review to be undertaken by Directorate 9 years after file opened . (Managed by RMU) If decision made to retain information – 2 nd Review to be undertaken by Records Management Unit 25 years after file opened .
	Electronic /Hybrid & Paper Only 2006 Onwards	Review to be undertaken by Directorate 7 years after folder closed . (Managed by RMU).
AUTHORITY:	HSE Senior Management Team (SMT)	

See National Archives website at:

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

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