



08 RISK MANAGEMENT RECORDS

University Retention Schedule

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8.1. Risk Management

The risk register goes to UEB and should form part of the UEB papers, which are archived. Where it goes to the Board of Governors, this version takes precedence. Board of Governance papers are also archived. See [Retention Schedule – 03 Committee Records](#).

8.2. Declarations of Interest and Declarations of Corporate Gift & Hospitality

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DIRECTORATE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Declarations of Interest made by staff	E	End of academic year	6 years	Delete	Limitation Act 1980		eRecords System	N/A	Published via gateway, if relevant All available to the public upon request	
Declarations of Interest made by governors	P	Termination of appointment	6 years	Destroy	Limitation Act 1980; JISC recommendation		Paper file in DCG office	N/A	Not published	
Declarations of Corporate Gift and Hospitality	E	End of academic year	6 years	Delete	Limitation Act 1980		eRecords System	N/A	Not published	

8.3. Safeguarding

8.3.1. Disclosure & Barring (DBS) Administration

From October 2019 our counter-signatory is Due Diligence Checking (DDC).

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DIRECTORATE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
List of users of disclosure information who are not registered counter signatories	P/E	When superseded	n/a*	Destroy	In case of queries concerning previous users of information	Stacey Langford is the super user for the University and then each area has an ID manager and ID users. * Removed from UoP list and system access, but will remain in audit trail against checks carried out.	DDC System (as access permissions) eRecords System	N/A	Not published	

8.3.2. Criminal Conviction Information (Staff & Students)

From October 2019 our counter-signatory is Due Diligence Checking (DDC). DDC retain records on their system in line with their [privacy policy](#) which can be found on their website.

8.3.3. Equality & Diversity

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	EQUALITY & DIVERSITY RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Reports of bullying or harassment	E	Anonymised annual report compiled	N/A	Delete	To encourage reporting, monitor trends and allow UoP to take action where appropriate	Where action is taken as a result of a report, the report data will be extracted from the system and managed in accordance with the appropriate case file (e.g. complaints, grievance, disciplinary etc)	Report & Support system	N/A	Not published	

8.4. Litigation

8.4.1. Legal Cases

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DIRECTORATE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records concerning litigation between the University and third parties, where precedents are set	P/E	N/A	Permanent		JISC recommendation		eRecords System	Corporate Governance filing cabinets & K:drive	Not published	
Records concerning litigation between the University and third parties, where precedents are not set	P/E	Settlement of case	6 years	Destroy	JISC recommendation; Limitation Act 1980		eRecords System	Corporate Governance filing cabinets & K:drive	Not published	
Records concerning claims by or against the University that do not proceed to litigation or settlement by agreement	P/E	Settlement or withdrawal of case	6 years	Destroy	JISC recommendation; Limitation Act 1980		eRecords System	Corporate Governance filing cabinets & K:drive	Not published	

8.4.2. Documented Legal Advice Provided for the University on Specific Topics

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DIRECTORATE RETENTION PERIOD	DEPT REQUESTING THE ADVICE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Legislation affecting the University's legal framework, governance, responsibilities and operation	P/E	N/A	Permanent	Permanent	N/A	JISC recommendation		Various	N/A	Not published	
Relationships with government bodies and HE regulators	P/E	N/A	Permanent	Permanent	N/A	JISC recommendation		Various	N/A	Not published	
Industrial related issues	P/E	N/A	Permanent	Permanent	N/A	JISC recommendation		Various	N/A	Not published	
Health and safety	P/E	N/A	Permanent	Permanent	N/A	JISC recommendation		Various	N/A	Not published	
Environmental issues	P/E	N/A	Permanent	Permanent	N/A	JISC recommendation		Various	N/A	Not published	
All other matters	P/E	When superseded	6 years	6 years	Review by Uni Solicitor*	Limitation Act 1980	* Records should be referred to the University Solicitor to ensure that the relevant limitation period has expired prior to disposal.	Various	N/A	Not published	

Stored in various locations depending on which department commissions the advice.

8.5. Complaints

Directorate relates specifically to complaints handled by the Complaints team. Where complaints are not handled by that team, records should be retained by the department dealing with the case.

NB: For complaints relating to the Nursery, see [Retention Schedule – 09 Service and Student Support Records > Nursery](#).

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DIRECTORATE RETENTION PERIOD	DEPTS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Complaints database	Spreadsheet	End of academic year	10 years		Destroy	TNA recommendation		eRecords System	N/A	Not published	
Complaints handled under the Early Resolution Opportunity stage of the complaints procedure	P/E	End of academic year	3 years	3 years	Destroy	JISC recommendation	Includes letters, emails, details of action taken and outcome	eRecords System	N/A	Not published	
Formal complaints	P/E	Last action on case	6 years	6 years	Destroy	JISC recommendation Limitation Act 1980	Includes letter of complaint / completed complaint form, report, details of action taken and outcome, related letters and emails	eRecords System	N/A	Not published	
Complaints: review by the Executive Director of Corporate Governance requested, but not accepted	P/E	Notification sent to complainant that case will not be reviewed	6 years		Destroy	JISC recommendation; Limitation Act 1980		eRecords System	N/A	Not published	
Complaints: reviewed by the Executive Director of Corporate Governance†	P/E	Last action on case	6 years		Destroy	JISC recommendation; Limitation Act 1980	†Whether upheld or not	eRecords System	N/A	Not published	
Complaints: referred to OIAHE	P/E	Last action on case	6 years		Destroy	JISC recommendation; Limitation Act 1980		eRecords System	N/A	Not published	
Complaints: withdrawn at Early Resolution Opportunity stage	P/E	End of academic year	3 years	3 years	Destroy	JISC recommendation		eRecords System	N/A	Not published	
Complaints: withdrawn during formal stages	P/E	Withdrawal or last action on case	6 years	6 years	Destroy	JISC recommendation; Limitation Act 1980		eRecords System	N/A	Not published	
Correspondence with OIAHE	P/E	Date of correspondence	10 years		Destroy		Includes fees notification and invoices, annual letters and annual reports	eRecords System	N/A	Not published	

8.6. Health & Safety

8.6.1. General Health & Safety

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	H&S RETENTION PERIOD	ESTATES RETENTION PERIOD	OTHER DEPTS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
H&S inspections of the University's land & buildings	P/E	When superseded		5 years		Destroy		NB: includes conduct, results, and action taken to address issues raised	K:drive	N/A	Not published	
H&S inspections of the University's internal facilities (labs etc)	P/E	When superseded	5 years			Destroy		NB: includes conduct, results, and action taken to address issues raised	eRecords System	N/A	Not published	
H&S audits (general)	P/E	Completion	5 years			Destroy	JISC Recommendation	NB: includes conduct, results, and action taken to address issues raised	eRecords System	N/A	Not published	
H&S audits for Genetically Modified Organisms	P/E	Completion	10 years			Destroy	The Genetically Modified Organisms (Risk Assessment) (Records and Exemptions) Regulations 1996	NB: includes conduct, results, and action taken to address issues raised	eRecords System	N/A	Not published	
Generic risk assessments	P/E	When superseded	5 years	5 years	5 years	Destroy	The Management of Health & Safety at Work Regulations (SI 1999/3242) JISC Recommendation	NB: For specific risk assessments, see schedules below. (Retention is the responsibility of the completing department)	eRecords System & Planon	K:drive	Not published	

8.6.2. Display Screens

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	H&S RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Assessments of the risks to health created by using workstations and records documenting the provision of information, instruction and training for employees using workstations	P/E	When superseded	5 years	Destroy	Regulation 2, 6 and 7 of the Display Screen Equipment Regulations SI 1992/2792; JISC recommendation	NB: includes conduct, review and revision of workplace assessments, eLearning and assessments	Records of training completed are held on HR system	N/A	Not published	
Workplace visits: assessment of practice with DSE and recommended adjustments	P/E	Termination of employment	6 years	Destroy		Forms part of the individual's Occ Health File	Occ Health file - eOPAS	N/A	Not published	

8.6.3. Accidents and First Aid

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	H&S RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records of the appointment of first aiders	P/E	Termination of appointment	N/A	Destroy	JISC Recommendation		eRecords System	N/A	Not published	
Lists of first aiders	P/E	N/A		Update		Central list, constantly updated	eRecords System	N/A	Website & Building notices	
Records of the provision of approved training for first aiders	P/E	When superseded	3 years	Destroy	Regulation 3 of the First Aid Regulations SI 1981/917; JISC Recommendation		eRecords System Records of training completed are held on HR system	N/A	Not published	
Records of the provision of information about first aid arrangements to employees	P/E	When superseded	3 years	Destroy	Regulation 3 of the First Aid Regulations SI 1981/917; JISC Recommendation		Website	N/A	Website, newsletters & Building notices	
Assessments of requirements for first aid facilities, equipment and trained personnel	P/E	When superseded	3 years	Destroy	Regulation 3 of the First Aid Regulations SI 1981/917; JISC Recommendation	NB: includes conduct, review and revision of assessments	eRecords System (first aid assessment tool)	N/A	Not published	
Records of accidents and incidents - adults	P/E	Date of incident	6 years	Destroy	Limitation Act 1980	For example: Accident report forms (HS1) and records of treatment provided	eRecords System	Accident books	Not published	
Records of accidents and incidents - children	P/E	Date of birth of child	25 years*	Destroy	Recommended by RMS Retention Guidelines for Schools – Early Years Provision (section 16.1.5) The Day Care and Child Minding (National Standards) Regulations 2003; The Childcare (Voluntary Registration) Regulations 2007 Limitation Act 1980	For example: Accident report forms (HS1) and records of treatment provided. NB: Applies mainly to the Nursery	eRecords System	Accident books	Not published	

* **Note on the Limitation Act:** If the incident/accident involves children under the age of 18, records should be retained until the youngest child involved is deemed to have reached 25 yrs of age. Where the age of the youngest child cannot be reliably calculated, the assumption must be that the youngest child was a new-born at the time of the incident/accident.

8.6.4. Fire Safety

NB: If a building is sold or demolished, or our lease on the building is given up, the retention periods shown below for Estates would (for that particular building) begin on the last day of ownership, expiry of the lease, or date of demolition (as applicable).

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	H&S RETENTION PERIOD	ESTATES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Fire risk assessments	P/E	When superseded		5 years	Destroy	Article 9 of the Regulatory Reform Fire Safety Order SI 2005/1541; JISC Recommendation	NB: includes conduct, review and revision of assessments	eRecords System	N/A	Not published	
Records of fire safety arrangements	P/E	When superseded		5 years	Destroy	Article 11 of the Regulatory Reform Fire Safety Order SI 2005/1541; JISC Recommendation					
Records of the nomination and appointment of “competent persons” (e.g. fire wardens) to implement fire-fighting measures	P/E	Termination of “competent person” status	N/A		Destroy	Articles 13 and 18 of the Regulatory Reform Fire Safety Order SI 2005/1541; JISC Recommendation	Central list, constantly updated	HR System	N/A	Website	
Records documenting the provision of role-specific training for “competent persons” to implement fire-fighting measures in University premises	E	Staff member leaves the University’s employ	6 years		Delete	Article 13 of the Regulatory Reform Fire Safety Order SI 2005/1541	Deviates from JISC recommendation as held on HR system	HR System	N/A	Not published	
Assessments of requirements for fire-fighting equipment and for fire detectors and alarms	P/E	Review of assessment		5 years	Destroy	Article 13 of the Regulatory Reform Fire Safety Order SI 2005/1541; JISC Recommendation	NB: includes conduct, review and revision of assessments	eRecords system	N/A	Not published	
Records of the maintenance of premises, facilities and equipment	P/E	End of academic year		5 years	Destroy	Article 17 of the Regulatory Reform Fire Safety Order SI 2005/1541; JISC Recommendation		Planon	Maximo	Not published	
Fire safety drills	P	When superseded		5 years	Destroy	Article 15 of the Regulatory Reform Fire Safety Order SI 2005/1541; JISC Recommendation	NB: includes conduct and review of drills (Security fire logbook boxes)	Fire log books & Planon	N/A	Not published	

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RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	H&S RETENTION PERIOD	ESTATES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records of arrangements with external emergency services for the provision of first aid, emergency medical care, fire-fighting and rescue services	P/E	When superseded	5 years	5 years	Destroy	Article 16 of the Regulatory Reform Fire Safety Order SI 2005/1541; JISC Recommendation	NB: includes the provision of information on the University's emergency procedures and arrangements	eRecords System	N/A	Website	
Records of the maintenance of premises, facilities and equipment provided for the use by, or the protection of, fire-fighters	P/E	End of academic year		5 years	Destroy	Article 38 of the Regulatory Reform Fire Safety Order SI 2005/1541; JISC Recommendation	E.g. Fire-fighting lifts, smoke vents etc	Planon	Maximo	Not published	
Records of the provision of fire safety training to employees	Electronic	Staff member leaves the University's employ	6 years		Destroy	Article 21 of the Regulatory Reform Fire Safety Order SI 2005/1541	Deviates from Article 21 as held on HR system	eLearning Package Records of training completed are held on HR system	N/A	Not published	

8.6.5. Out of Hours Risk

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DEPT RETENTION PERIOD	ESTATES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Assessments of the risks of using buildings out of hours	P/E	??	6 years		Destroy	University policy					
Use of buildings log	P/E	??		6 years	Destroy		List of people using buildings out of hours	Swipe Card system	N/A	Not published	

8.6.6. Students

8.6.6.1. Field Trips

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	ACADEMIC DEPT RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Risk assessments	P/E	Completion of field trip	6 years	Destroy	Limitation Act 1980					
Students' medical declarations	P/E	End of academic year	N/A	Destroy		If there is an incident, the relevant declaration(s) should be included in the incident file and managed accordingly. See 8.6.3 above				

8.6.6.2. Student Placements

As of April 2023 the provision of Occupational Health services for Uop has been outsourced to Cordell Health Ltd.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	ACADEMIC DEPT RETENTION PERIOD	OCC HEALTH RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Employer's Health and Safety questionnaire	P/E	Completion of placement/training	6 years		Destroy	Limitation Act 1980; Policy for Placement Learning	Includes accompanying letters				
Student induction checklists	P/E	Completion of placement/training	6 years		Destroy	Limitation Act 1980; Policy for Placement Learning					
Letters of approval	P/E	Completion of placement/training	6 years		Destroy	Limitation Act 1980; Policy for Placement Learning					
Occupational Health records for students	E	Graduation or Withdrawal	6 years	6 years	Destroy	Limitation Act 1980; Policy for Placement Learning		Managed by Cordell Health Ltd	FileStore	Not published	

8.6.7. Staff and Contractors

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	ESTATES RETENTION PERIOD	H&S RETENTION PERIOD	DEPTS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Permits to work issued by Estates	P	Completion of work	3 years			Destroy	In case of an incident leading to injury claim	If there is an incident, the relevant permit(s) should be included in the incident file and managed accordingly. See 8.6.3 above	Secure physical folder		Not published	
Permits to work issued by departments for laboratories	P	Completion of work			3 years	Destroy	In case of an incident leading to injury claim	If there is an incident, the relevant permit(s) should be included in the incident file and managed accordingly. See 8.6.3 above	Secure physical folder		Not published	
Risk assessments for overseas travel: no incident, accident, illness, or dispute	P/E	Date staff member returns		3 years		Destroy	Limitation Act 1980		Service Manager	eRecords System (Insurance Records) FileStore	Not published	
Risk assessments for overseas travel: where there has been an incident, accident, illness, or dispute	P/E	Last action on case		6 years		Destroy	Limitation Act 1980		Service Manager	eRecords System (Insurance Records) FileStore	Not published	

8.6.8. Asbestos

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	ESTATES RETENTION PERIOD	H&S / OCC HEALTH RETENTION PERIOD	DEPTS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Assessment of the presence and condition of asbestos	P/E	Completion of work to which the assessment relates	40 years			Destroy	Regulations 5 & 19 of the Control of Asbestos at Work Regulations SI 2012/632	Includes monitoring of general exposure of employees	eRecords System			
Assessments of the risks to health created by exposure to asbestos	P/E	When superseded			10 years	Destroy	Regulation 6 of the Control of Asbestos at Work Regulations SI 2012/632 JISC recommendation	NB: includes conduct, review and revision of assessments	Job Description (hazard form)			
Written plans of work for undertaking work with asbestos	P/E	Completion of work to which the plan relates	40 years			Destroy	Regulation 7 of the Control of Asbestos at Work Regulations SI 2012/632	Provided by contractors	eRecords System			
Notifications to enforcing authorities of proposed work with asbestos	P/E	Completion of work	10 years			Destroy	Regulation 9 of the Control of Asbestos at Work Regulations SI 2012/632 JISC recommendation		eRecords System		Email	
Records documenting the provision of information, instruction and training for employees potentially exposed to asbestos	E	When superseded	10 years	10 years		Destroy	Regulation 10 of the Control of Asbestos at Work Regulations SI 2012/632 JISC recommendation	H&S provide awareness training to staff Estates provide contractor awareness as part of the contractor induction	Records of staff training completed are held on HR system Contractors - Planon System			
Plans and procedures for dealing with accidents, incidents and emergencies involving asbestos	P/E	When superseded	10 years			Destroy	Regulation 15 of the Control of Asbestos at Work Regulations SI 2012/632 JISC recommendation	Asbestos management plan	eRecords System		Intranet	
Health surveillance records: individual employees (including those potentially exposed to asbestos fibres in an incident)	P/E	Last entry on record		40 years	40 years	Destroy	Regulation 22 of the Control of Asbestos at Work Regulations SI 2012/632 JISC recommendation	Potential exposure would automatically invoke health surveillance by Occ Health. We do not currently have any employees under surveillance Entire Occ Health file would be retained in line with longest retention period required	Local staff file (copy to Occ Health - eOPAS)	(hardcopy to Occ Health)	Not published	

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	ESTATES RETENTION PERIOD	H&S / OCC HEALTH RETENTION PERIOD	DEPTS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Employer’s copies of certificates of medical examinations of identifiable employees	P/E	Date of certificate	4 years			Destroy	Regulation 22 of the Control of Asbestos at Work Regulations SI 2012/632 JISC recommendation	Only applies to persons working directly with asbestos	Occ Health – eOPAS	Occ Health – Paper filing	Not published	

8.6.9. Hazardous Substances

University does not have any Group 3 or Group 4 biological agents. Should it have them in the future, schedules will be re-instated from retention schedule v3.0 (2015)

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	H&S RETENTION PERIOD	ESTATES RETENTION PERIOD	DEPTS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records of the maintenance of fixed equipment provided to control exposure to hazardous substances	P/E	Date of examination, test or repair		5 years		Destroy	Regulation 9 of the Control of Substances Hazardous to Health Regulations SI 2002/2677 JISC recommendation		Planon	Maximo		
Records of the maintenance of portable equipment provided to control exposure to hazardous substances	P/E	Date of examination, test or repair			5 years	Destroy	Regulation 9 of the Control of Substances Hazardous to Health Regulations SI 2002/2677 JISC recommendation	Autoclaves etc				
Records documenting the provision of information, instruction and training for employees exposed to hazardous substances	P/E	When superseded	10 years		10 years	Destroy	Regulation 12 of the Control of Substances Hazardous to Health Regulations SI 2002/2677; JISC Recommendation		Records of staff training completed are held on HR system On job training – Local filing			
Plans and procedures for dealing with accidents, incidents and emergencies involving hazardous substances	P/E	When superseded	10 years		10 years	Destroy	Regulation 13 of the Control of Substances Hazardous to Health Regulations SI 2002/2677; JISC Recommendation	Dept risk assessment and incident packs should contain this. H&S provide technical guidance only	H&S – eRecords System		Website	

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	H&S RETENTION PERIOD	ESTATES RETENTION PERIOD	DEPTS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records of responses to accidents, incidents and emergencies involving hazardous substances	E	Last action on event	10 years			Delete	Regulation 13 of the Control of Substances Hazardous to Health Regulations SI 2002/2677; JISC Recommendation	Incident reporting system	eRecords System			
Health surveillance records: individual employees	P/E	Last entry on record			40 years	Destroy	Regulation 11 of the Control of Substances Hazardous to Health Regulations SI 2002/2677 JISC recommendation	Entire Occ Health file would be retained in line with longest retention period required	Local staff file (copy to Occ Health - eOPAS)	(hardcopy to Occ Health)	Not published	
Monitoring records: General exposure of employees	P/E	Last entry on record	5 years	5 years	5 years		Regulation 10 of the Control of Substances Hazardous to Health Regulations SI 2002/2677 JISC recommendation	Includes both reactive and proactive monitoring Estates monitor legionella only	H&S – eRecords system Estates – Zetasafe (Churchill system contractor)	N/A	Not published	
Assessments of the risks to health created by work with hazardous substances	P/E	When superseded			10 years	Destroy	Regulation 6 of the Control of Substances Hazardous to Health Regulations SI 2002/2677 JISC recommendation	NB: includes conduct, review and revision of assessments (should be included on job description)	Job Description (hazard form)			

8.6.10. Lead

Lead is not used and any work on the little remaining lead would be contracted out. If lead is used in future, schedules will be re-instated from retention schedule v3.0 (2015)

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	H&S RETENTION PERIOD	ESTATE RETENTION PERIOD	DEPTS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Plans and procedures for dealing with accidents, incidents and emergencies involving lead	P/E	When superseded	10 years	10 years		Destroy	Regulation 12 of the Control of Lead at Work Regulations SI 2002/2676; JISC Recommendation	Risk assessments for one-off jobs	eRecords System			
Records of responses to accidents, incidents and emergencies involving lead	P/E	Last action on event	10 years			Destroy	Regulation 12 of the Control of Lead at Work Regulations SI 2002/2676; JISC Recommendation	Incident reporting system	Local staff file			
Health surveillance records: individuals employees	P/E	Last entry on record			40 years	Destroy	Regulation 10 of the Control of Lead at Work Regulations SI 2002/2676 JISC recommendation	Entire Occ Health file would be retained in line with longest retention period required	(copy to Occ Health - eOPAS)	(hardcopy to Occ Health)	Not published	
Assessments of the risks to health created by work involving lead	P/E	When superseded			10 years	Destroy	Regulation 5 of the Control of Lead at Work Regulations SI 2002/2676; JISC Recommendation	Should be included on job description	Job Description (hazard form)			

8.6.11. Noise

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DEPTS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records of the maintenance of equipment provided to control exposure to noise	P/E	Date of examination, test or repair	5 years	Destroy	Regulation 8 of the Control of Noise at Work Regulations SI 2005/1643; JISC Recommendation					
Records documenting the provision of information, instruction and training for employees exposed to noise	E	When superseded	10 years	Delete	Regulation 10 of the Control of Noise at Work Regulations SI 2005/1643; JISC Recommendation	No formal training provide. On the job training only				
Assessments of the risks to health created by exposure to noise	P/E	When superseded	10 years	Destroy	Regulation 5 of the Control of Noise at Work Regulations SI 2005/1643; JISC Recommendation	Should be on the job specification	Job Description (hazard form)			
Records of the provision of personal protective equipment to employees	P/E	Return of issued equipment	3 years	Destroy	Regulation 7 of the Control of Noise at Work Regulations SI 2005/1643; Limitation Act 1980					
Health surveillance records: individual employees	P/E	Last entry on record	40 years	Destroy	Regulation 9 of the Control of Noise at Work Regulations SI 2005/1643 JISC recommendation	Entire Occ Health file would be retained in line with longest retention period required	Local staff file (copy to Occ Health - eOPAS)	(hardcopy to Occ Health)	Not published	

8.6.12. Ionising Radiation

Organisations are obliged to have a radiation protection authorized person. There are no classified persons at present. If there are in future, schedules (including those relating to medical files) will be re-instated from retention schedule v3.0 (2015).

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	H&S RETENTION PERIOD	AUTHORISED RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records of maintenance of other equipment provided to control exposure to ionising radiation	P	Date of examination, test or repair		5 years	Destroy	Regulation 11 of the Ionising Radiations Regulations 2017; JISC Recommendation		Info is physically on the equipment			
Contingency plans to deal with radiation accidents	P/E	When superseded		N/A	Destroy	Regulation 13 of the Ionising Radiations Regulations 2017; JISC Recommendation		In “Local Rules” (at each site and on eRecords System)			
Records relating to the any rooms where radiation has been used	E	Life of building		N/A	Transfer to new owner			eRecords System (store in building file)			
Records documenting the provision of information, instruction and training for employees exposed to ionising radiation	E	When superseded	10 years	10 years	Delete	Regulation 15 of the Ionising Radiations Regulations 2017; JISC Recommendation		Records of staff training completed are held on HR system On job training – In “Local Rules”			
Records of the maintenance and testing of equipment for monitoring levels of ionising radiation	P/E	Date of maintenance or test		5 years	Destroy	Regulation 19 of the Ionising Radiations Regulations 2017					
Summaries of dose records	P/E	End of academic year		2 years	Destroy	Regulation 22 of the Ionising Radiations Regulations 2017	This is for non-classified persons only	N/A			
Records of tests to detect leakage from articles containing or embodying radioactive substances	P/E	Completion of next test or disposal of article		5 years	Destroy	Regulation 28 of the Ionising Radiations Regulations 2017		Authorised person’s filing system			
Records of quality and location of radioactive substances	P/E	Disposal of article		2 years	Destroy	Regulation 29 of the Ionising Radiations Regulations 2017; JISC recommendation					

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	H&S RETENTION PERIOD	AUTHORISED RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Reports of immediate investigations into possible accidental release or theft of radioactive substances, where no release or theft was found to have occurred	P/E	Date of report	6 years	6 years	Destroy	Regulation 30 of the Ionising Radiations Regulations 2017	Treat as any other accident - Incident reporting system	eRecords System	N/A	Not published	
Reports of immediate investigations into possible accidental release or theft of radioactive substances, or accidental excess dose exceeding 6 mSv (effective), 15mSv (equivalent to lens of the eye), 150 mSv (skin/extremities), where accidental release or theft was found to have occurred	P/E	Date of report	30 years	30 years	Destroy	Regulation 24, 31 of the Ionising Radiations Regulations 2017	Treat as any other accident - Incident reporting system	eRecords System	N/A	Not published	
Monitoring records: levels of ionising radiation in designated controlled areas	P/E	Date of monitoring		5 years	Destroy	Regulation 20 of the Ionising Radiations Regulations 2017	Includes radiation monitoring test certificates				
Records relating to the University's EA permit and the permitted uses of radioactive substances	P/E	Until EA gives written permission for the disposal of the records*		n/a	Destroy	EA Permit requirements	* It is expected this will mean permanent retention. The EA's written permission to destroy must be kept to justify disposal of the permit				