

02	Corporate Management						
Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
02.001	Audit	The function of conducting audits of the institution's affairs and operations.					
	Audit Management	Records documenting the conduct and results of audits, and action taken to address issues raised.	Completion of audit	5 years	Destroy	Business requirement	
	Audit Policy Development: key records	The activities involved in developing and establishing the institution's policies for the conduct of audits.	Date superseded	5 years	Destroy	Business requirement	
	Audit Policy Development: working papers	The activities involved in developing and establishing the institution's policies for the conduct of audits.	Date policy issued	1 year	Destroy	Business requirement	
	Audit Procedure Development: working papers	The activities involved in developing the institution's procedures for conducting audits.	Date procedures issued	1 year	Destroy	Business requirement	
	Audit Procedure Development: master set	The activities involved in developing the institution's procedures for conducting audits.	Date superseded	3 years	Destroy	Business requirement	
	Audit Strategy Development: key records	The activities involved in developing and establishing the institution's audit strategy.	Date superseded	5 years	Destroy	Business requirement	

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	Audit Strategy Development: working papers	The activities involved in developing and establishing the institution's audit strategy.	Date strategy issued	1 year	Destroy	Business requirement	
02.002	Corporate Planning & Performance Management	The function of developing and establishing the institution's corporate plans and of monitoring its performance against these plans					
	Operational performance management	Records documenting the development of the institution's key performance indicators.	Date superseded	1 year	Destroy	Business requirement	Review for historical value.
	Operational performance management: benchmarking exercises with comparable institutions	Activities include: developing key performance indicators (KPIs); benchmarking against other comparable institutions; monitoring performance against strategic plans and KPIs.	Current academic year	1 year	Destroy	Business requirement	
	Operational performance management: performance monitoring and analysis	The activities involved in monitoring the institution's performance against its annual operating plans.	End of current academic year	1 year	Destroy	Business requirement	
	Operational plans: working papers.	Records documenting the development of the institution's annual operating plans:	End of current academic year	1 year	Destroy	Business requirement	

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	Operational plans: key records.	Records documenting the development of the institution's annual operating plans. Activities include: developing plans; reviewing plans.	End of current academic year	5 years	Destroy	Business requirement	Review for historical value.
	Policy: master set	The activities involved in developing, establishing and approving the institution's policies on corporate planning and performance management.	Date superseded	10 years	Destroy	Business requirement	Review for historical value.
	Policy: working papers.	The activities involved in developing and establishing the institution's policies on corporate planning and performance management.	Policy issue date	1 year	Destroy	Business requirement	
	Procedures: master set	The activities involved in developing the institution's procedures for corporate planning and performance management.	Date superseded	5 years	Destroy	Business requirement	Review for historical value.
	Procedures: working papers	The activities involved in developing the institution's procedures for corporate planning and performance management.	Procedure issue date	1 year	Destroy	Business requirement	

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	Strategic performance management	The activities involved in monitoring the institution's performance against its strategic plans.	Current academic year	5 years	Destroy	Business requirement	
	Strategic plan: key records.	The activities involved in developing the institution's strategic plans.	Date superseded	10 years	Destroy	Business requirement	Review for historical value.
	Strategic plan: records containing data on, and analyses of, the institution's performance against its strategic plan.	Activities include: developing key performance indicators (KPIs); benchmarking against other comparable institutions; monitoring performance against strategic plans and KPIs.	Current academic year	5 years	Destroy	Business requirement	
	Strategic plan: records containing reports on the institution's performance against its strategic plan.		Current academic year	10 years	Destroy	Business requirement	Review for historical value.
	Strategic plan: working papers.		Publication of the strategic plan	1 year	Destroy	Business requirement	
02.003	Environmental Management	The function of managing the impact of the institution and its business on the environment, and of ensuring compliance with legislation on environmental matters.					

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	Energy Management Audits: monitoring of use and consumption	Records documenting routine monitoring of the institution's use and consumption of energy.	Current academic year	5 years	Destroy	Business requirement	
	Energy Management Reviews	Records documenting the conduct and results of formal reviews of the institution's use and consumption of energy, and action taken to address issues raised.	Completion of review	5 years	Destroy	Business requirement	
	Environmental Audit	Records documenting the conduct and results of environmental audits, and action taken to address issues raised.	Completion of audit	5 years	Destroy	Business requirement	Review for historical value.
	Environmental Awareness Promotion	Records documenting action taken by the institution to raise awareness of environmental issues among its employees, other staff and students.	Current academic year	5 years	Destroy	Business requirement	
	Environmental Hazard Identification & Risk Assessment	Records documenting identified environmental hazards to the institution, or created by its operations, and the conduct and results of risk assessments.	Elimination of risk OR updating of risk assessment	5 years	Destroy	Business requirement	

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	Environmental Incident Recording	Records documenting the recording of environmental incidents on the institution's premises or caused by its operations.	Date of last action	40 years	Destroy	Business requirement	
	Environmental Incident Investigation	Records documenting the investigation of environmental incidents on the institution's premises or caused by its operations.	Closure of investigation	40 years	Destroy	Business requirement	
	Environmental Incident Reporting	Records documenting the notification and reporting of reportable environmental incidents to enforcing authorities.	Date of notification	5 years	Destroy	Business requirement	
	Environmental Management Policy Development: key records	Records documenting the development and establishment of the institution's environmental management policies: key records.	Date superseded	10 years	Destroy	Business requirement	
	Environmental Management Policy Development: working papers	The activities involved in developing and establishing the institution's policies on environmental matters.	Date policy issued	1 year	Destroy	Business requirement	

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	Environmental Management Procedure Development	Records documenting the development of the institution's procedures relating to environmental management.	Date procedures issued	1 year	Destroy	Business requirement	
	Environmental Management Procedure Development: master set	The activities involved in developing the institution's procedures for the management of environmental matters.	Date superseded	10 years	Destroy	Business requirement	
	Environmental Management Scheme Accreditation Management	Records documenting the attainment and maintenance of the institution's accreditation under established environmental management schemes (for example, EMAS).	Date accreditation terminated	1 year	Destroy	Business requirement	
	Environmental Strategy Developmentset: master set	Records documenting the development and establishment of the institution's environmental management strategy: key records.	Date superseded	10 years	Destroy	Business requirement	
	Environmental Strategy Development: working papers	Records documenting the development and establishment of the institution's environmental management strategy: working papers.	Date strategy issued	1 year	Destroy	Business requirement	

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	Waste Management	Register of 'special waste' removed from the premises for disposal by registered/licensed contractors, as required by Regulation 15 of the Special Waste Regulations 1996 (SI 1996/972).	Removal of waste consignment	3 years	Destroy	Statutory	SI 2005/894 repealed SI 1996/972 but SI 2005/894 Regulation 51(4) requires registers made under SI 1996/972 Regulation 15(4) to be retained for the period specified here.
	Waste Management	The activities involved in collecting, classifying, storing, and disposing of the institution's waste. Records documenting hazardous waste to be disposed of, as required by the European Waste Catalogue.	Removal date of waste	3 years	Removal of waste + 3 years	Scottish Statutory Instrument 2004/112 The Special Waste Amendment (Scotland) Regulation	SSI 2004/112 amends of the Special Waste Regulations 1996 and the Pollution Prevention and Control (Scotland) Regulations 2000. Article 1(4) of the Hazardous Waste Directive specifies the content of these records. "European Waste Catalogue" means the list of wastes pursuant to Article 1(a) of the Waste Directive and Article 1(4) of the Hazardous Waste Directive set out in Commission Decision 2000/532/EC
02.004	Equality & Diversity Management	The function of managing the institution's compliance with legislation on equal opportunities.					

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Disability Equality Compliance	Records documenting the preparation/revision of the institution's Disability Equality Scheme.	Date superseded	5 years	Destroy	Business requirement	SI 2005/2966 does not prescribe a retention period for these records.  SSI 2005/565 does not prescribe a retention period for these records.  Retaining previous versions provides evidence of compliance and effective management of equality over time.
	Disability Equality Compliance	Records documenting the preparation of annual reports on the implementation of the institution's Disability Equality Scheme.	End of current academic year	5 years	Destroy	Business requirement	SI 2005/2966 does not prescribe a retention period for these records.  SSI 2005/565 does not prescribe a retention period for these records.  Retaining previous versions provides evidence of compliance and effective management of equality over time.
	Disability Equality Compliance	Records documenting assessments of the impact of the institution's policies and practices on equality for disabled persons.	Date superseded	5 years		Business requirement	Retaining previous versions provides evidence of compliance and effective management of equality over time.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Discrimination Complaints Handling	Records documenting the handling of formal complaints about discrimination by or within the institution.	Date of last action	6 years		Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45
	Equality & Diversity Monitoring	Records containing summary statistical information resulting from equality monitoring.	End of current academic year	5 years		Business requirement	
	Equality & Diversity Policy Development	Records documenting the development and establishment of the institution's policies on equality and diversity: key records.	Date superseded	5 years		Business requirement	
	Equality & Diversity Policy Development	Records documenting the development and establishment of the institution's policies on equality and diversity: working papers.	Date policy issued	1 year		Business requirement	
	Equality & Diversity Procedure Development	Records documenting the development of the institution's procedures relating to the management of equality and diversity.	Date procedures issued	1 year		Business requirement	
	Equality & Diversity Procedure Development	Master copies of procedures relating to the management of equality and diversity.	Date superseded	3 years		Business requirement	

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Equality & Diversity Strategy Development	Records documenting the development and establishment of the institution's equality and diversity strategy: key records.	Date superseded	5 years		Business requirement	
	Equality & Diversity Strategy Development	Records documenting the development and establishment of the institution's equality and diversity strategy: working papers.	Date strategy issued	1 year		Business requirement	
	Equality & Diversity Training	Records documenting the development and delivery of training on equality and diversity issues and procedures.	End of current academic year	5 years		Business requirement	
	Ethnic Minority Mentoring Scheme Co-ordination	Records documenting the handling of individual applications for the Scheme and monitoring of the mentor-mentee relationship and outcomes.	Completion of the Scheme	1 year		Business requirement	
	Gender Equality Compliance	Records documenting the preparation/revision of the institution's Gender Equality Scheme.	Date superseded	5 years		Business requirement	SI 2006/2930 does not prescribe a retention period for these records.  Retaining previous versions provides evidence of compliance and effective management of equality over time.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Gender Equality Compliance	Records documenting the preparation of annual reports on the implementation of the institution's Gender Equality Scheme.	End of current academic year	5 years		Business requirement	SI 2006/2930 does not prescribe a retention period for these records.  Retaining previous versions provides evidence of compliance and effective management of equality over time.
	Gender Equality Compliance	Records documenting assessments of the impact of the institution's policies and practices on equality for men and women.	Date superseded	5 years		Business requirement	SI 2006/2930 does not prescribe a retention period for these records.  Retaining previous versions provides evidence of compliance and effective management of equality over time.
	Race Equality Compliance	Records documenting the preparation of the institution's race equality policy.	Date superseded	5 years		Business requirement	SI 2001/3458 does not prescribe a retention period for these records.  Retaining previous versions provides evidence of compliance and effective management of equality over time.
	Race Equality Compliance	Records documenting assessments of the impact of the institution's policies on equality between different racial groups.	Date superseded	5 years		Business requirement	SI 2001/3458 does not prescribe a retention period for these records.  Retaining previous versions provides evidence of compliance and effective management of equality over time.

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	Race Equality Compliance	Records documenting the monitoring, by racial group, of student admission and progress.	End of current academic year	5 years		Business requirement	SI 2001/3458 does not prescribe a retention period for these records.  Retaining previous versions provides evidence of compliance and effective management of equality over time.
	Race Equality Compliance	Records documenting the monitoring, by racial group, of employee recruitment and career progress.	End of current academic year	5 years		Business requirement	SI 2001/3458 does not prescribe a retention period for these records.  Retaining previous versions provides evidence of compliance and effective management of equality over time.
02.005	Governance	The function of developing and establishing the institution's corporate governance structure and rules, and of conducting its business in accordance with its governance structure and rules.					
	Governance Framework Development	Records documenting the establishment and development institution's governance structure and rules.	Current	Life of institution	NA	Business requirement	Review for historical value.

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	Governance Strategy Development: key records	Records documenting the development and establishment of the institution's governance strategy: key records.	Date superseded	10 years		Business requirement	
	Governance Strategy Development: working papers	Records documenting the development and establishment of the institution's governance strategy: working papers.	Date strategy issued	1 year	Issue of strategy + 1 year	Business requirement	
	Legal Framework Development	Records documenting the establishment and development of the institution's legal framework.	Current	Life of institution	NA	Business requirement	Review for historical value.
	Non-Statutory Committee Administration	Records documenting the development and establishment of the terms of reference, and the rules and procedures, for a committee.	Life of committee	6 years	Destroy	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45 Review for historical value.
	Non-Statutory Committee Administration	Records documenting the appointment/election/designation of members of a committee.	Date of termination of membership	6 years	Destroy	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Non-Statutory Committee Administration	Records documenting the development of induction and training programmes for members of a committee.	Date superseded	3 years		Business requirement	Retaining previous versions provides evidence of effective induction and training over time.
	Non-Statutory Committee Administration	Records documenting training undertaken by individual members of a committee.	Date of membership termination	6 years		Business requirement	
	Non-Statutory Committee Administration	Records documenting the arrangements for meetings of a committee.	End of current academic year	1 year		Business requirement	
	Non-Statutory Committee Administration	Records documenting the conduct of the business of a committee: agenda, minutes and supporting papers.	Life of committee	5 years		Business requirement	
	Non-Statutory Committee Administration	Records documenting the conduct of the business of a committee: correspondence and other records relating to the preparation of committee business or to actions to be taken (or not taken) as a result of committee decisions.	End of current academic year	5 years	Destroy	Business requirement	

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	Official External Representation	Records documenting the appointment/designation of staff to officially represent the institution.	Termination of representation	NA	Destroy	Business requirement	
	Public Interest Disclosure (Whistle Blowing) Investigation	Records documenting the investigation, determination and resolution of an allegation made by a member of staff under the Public Interest Disclosure Act 1998.	Date case closed	6 years	Destroy	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45
	Senior Officers' Appointments Administration	Records documenting the appointment/ election/designation of the institution's senior officers including setting terms and conditions.	Date of termination	6 years	Destroy		Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45
	Statutory Committee Administration	Records documenting the development and establishment of the terms of reference, and the rules and procedures, for a statutory committee.	Life of institution	NA	Retain	Business requirement	Review for historical value.
	Statutory Committee Administration	Records documenting the appointment/election/designation of members of a statutory committee.	Date of termination of membership	6 years	Destroy	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Statutory Committee Administration	Records documenting the development of induction and training programmes for members of a statutory committee.	Date superseded	5 years	Destroy	Business requirement	Retaining previous versions provides evidence of effective induction and training over time.
	Statutory Committee Administration	Records documenting training undertaken by individual members of a statutory committee.	Date of termination of membership	6 years	Destroy	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45
	Statutory Committee Administration	Records documenting the arrangements for meetings of a statutory committee.	End of current academic year	1 year	Destroy	Business requirement	
	Statutory Committee Administration	Records documenting the conduct of the business of a statutory committee: agenda, minutes and supporting papers.	Life of institution			Business requirement	Review for historical value.
	Statutory Committee Administration	Records documenting the conduct of the business of a statutory committee: correspondence and other records relating to the preparation of committee business or to actions to be taken (or not taken) as a result of committee decisions.	End of current academic year	5 years	Destroy	Business requirement	

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	Statutory Committee Administration	Records documenting the conduct of reviews of the effectiveness and performance of a statutory committee.	Completion of two subsequent reviews		Destroy	Business requirement	Retaining records of previous reviews provides evidence of effective monitoring over time, as well as compliance with regulatory requirements/recommendations to undertake reviews.
	Statutory Committee Administration	Register of interests of members of the institution's governing body.	Date of termination of appointment	6 years	Destroy	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45
02.006	Health & Safety	The function of managing the impact of the institution's operations on the health and safety of its staff, students and others while on its premises and in other places where they may be affected by its operations, and of ensuring compliance with legislation on health and safety matters.					
	Health & Safety Audit	Records documenting the conduct and results of health and safety audits.	Completion of the audit	5 years	Destroy	Business requirement	Retaining previous versions provides evidence of compliance and effective management of health and safety over time.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Consultation	Records documenting notifications of appointments of safety representatives by trade unions under Regulation 3 of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Termination of appointment	1 year	Destroy	Business requirement	SI 1977/500 does not prescribe a retention period for these records.  SI 1996/1513 does not prescribe a retention period for these records. Activities include fulfilling the institution's duties under the Safety Representatives and Safety Committees Regulations 1997 (SI 1997/500) and the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).
	Health & Safety Consultation	Records documenting the provision of time off, and other facilities and assistance, for safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 SI 1977/500).	End of current academic year	5 years	Destroy	Business requirement	SI 1977/500 does not prescribe a retention period for these records.  SI 1996 /1513 does not prescribe a retention period for these records. Activities include fulfilling the institution's duties under the Safety Representatives and Safety Committees Regulations 1997 (SI 1997/500) and the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513)

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	Health & Safety Consultation	Records documenting consultations and other communications with safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	End of current academic year	50 years	Destroy	Business requirement	SI 1977/500 does not prescribe a retention period for these records.  SI 1996 /1513 does not prescribe a retention period for these records. Activities include fulfilling the institution's duties under the Safety Representatives and Safety Committees Regulations 1997 (SI 1997/500) and the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).
	Health & Safety Consultation	Records documenting the establishment of a safety committee to fulfil the institution's duty under s 2(7) of the Health and Safety at Work etc. Act 1974 (c. 37) and in accordance with Regulation 9 of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500). Includes records documenting the objectives, role, functions, composition and administration of the committee.	Dissolution of committee	50 years	Destroy	Business requirement	SI 1977/500 does not prescribe a retention period for these records.  SI 1996 /1513 does not prescribe a retention period for these records. Activities include fulfilling the institution's duties under the Safety Representatives and Safety Committees Regulations 1997 (SI 1997/500) and the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Consultation	Records documenting the election of members of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Completion of election	1 year	Destroy	Business requirement	SI 1977/500 does not prescribe a retention period for these records.  SI 1996 /1513 does not prescribe a retention period for these records. Activities include fulfilling the institution's duties under the Safety Representatives and Safety Committees Regulations 1997 (SI 1997/500) and the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).
	Health & Safety Consultation	Records documenting the proceedings and decisions of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	End of current academic year	50 years	Destroy	Business requirement	SI 1977/500 does not prescribe a retention period for these records.  SI 1996 /1513 does not prescribe a retention period for these records. Activities include fulfilling the institution's duties under the Safety Representatives and Safety Committees Regulations 1997 (SI 1997/500) and the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).

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	Health & Safety Consultation	Records documenting the election of representatives of employee safety under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).	Completion of election	1 year	Destroy	Business requirement	SI 1977/500 does not prescribe a retention period for these records.  SI 1996 /1513 does not prescribe a retention period for these records. Activities include fulfilling the institution's duties under the Safety Representatives and Safety Committees Regulations 1997 (SI 1997/500) and the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).
	Health & Safety Consultation	Records documenting consultations and other communications with representatives of employee safety elected under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513), or with all employees directly.	End of current academic year	50 years	Destroy	Business requirement	SI 1977/500 does not prescribe a retention period for these records.  SI 1996 /1513 does not prescribe a retention period for these records. Activities include fulfilling the institution's duties under the Safety Representatives and Safety Committees Regulations 1997 (SI 1997/500) and the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).

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	Health & Safety Consultation	Records documenting the provision of training (specifically related to their functions as representatives) for representatives of employee safety elected under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).	End of current academic year	5 years	Destroy	Business requirement	SI 1977/500 does not prescribe a retention period for these records.  SI 1996 /1513 does not prescribe a retention period for these records. Activities include fulfilling the institution's duties under the Safety Representatives and Safety Committees Regulations 1997 (SI 1997/500) and the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).
	Health & Safety Consultation	Records documenting the provision of time off, and other facilities and assistance, for representatives of employee safety appointed under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).	End of current academic year	5 years	Destroy	Business requirement	SI 1977/500 does not prescribe a retention period for these records.  SI 1996 /1513 does not prescribe a retention period for these records. Activities include fulfilling the institution's duties under the Safety Representatives and Safety Committees Regulations 1997 (SI 1997/500) and the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).

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	Health & Safety Hazard Exposure Control - Asbestos	Records documenting assessments of the presence and condition of asbestos, as required by Regulation 5 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Completion of work to which the assessment relates	10 years	Destroy	Business requirement	<p>Control of Asbestos Regulations 2006 (SI 2006/2739) does not prescribe a retention period for these records.</p> <p>Retaining assessments provides evidence of effective management of risks over time. Activities include fulfilling the institution's duties under SI 2006/2739 by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to asbestos (Regulation 13); developing plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, and responding to emergencies which occur (Regulation 15); monitoring employees' general and individual</p>

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	Health & Safety Hazard Exposure Control - Asbestos	Records documenting the conduct, review and revision of assessments of the risks to health created by exposure to asbestos, to fulfil the institution's duties under Regulation 6 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Date superseded	10 years	Destroy	Business requirement	<p>SI 2006/2739 does not specify a retention period for these records.</p> <p>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</p> <p>A longer retention period may be appropriate if there have been potentially dangerous exposures. Activities include fulfilling the institution's duties under SI 2006/2739 by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to asbestos (Regulation 13); developing plans and information to deal with accidents, incidents and emergencies related to the</p>

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	Health & Safety Hazard Exposure Control - Asbestos	Records documenting the preparation of written plans of work for undertaking work with asbestos, as required by Regulation 7 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Date work completed to which plan relates.	10 years		Statutory	Control of Asbestos Regulations 2006 Regulation 7(2) Activities include fulfilling the institution's duties under SI 2006/2739 by: producing written plans of work for undertaking work with asbestos (Regulation 7);
	Health & Safety Hazard Exposure Control - Asbestos	Records documenting notifications to enforcing authorities of proposed work with asbestos, to fulfil the institution's duties under Regulation 9 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Duration of work	10 years	Destroy	Business requirement	Control of Asbestos Regulations 2006 SI 2006/2739 Regulation 9 does not prescribe a retention period for these records.  Retaining assessments provides evidence of effective management of risks associated with works carried out. Regulation 9 Activities include fulfilling the institution's duties under SI 2006/2739 by: notifying enforcing authorities of proposed work with asbestos (Regulation 9);

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	Health & Safety Hazard Exposure Control - Asbestos	Records documenting the provision of information, instruction and training for employees who are exposed to asbestos, to fulfil the institution's duties under Regulation 10 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Date superseded	10 years	Destroy	Business requirement	<p>Control of Asbestos Regulations 2006 SI 2006/2739 Regulation 10 does not prescribe a retention period for these records.</p> <p>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</p> <p>A longer retention period may be appropriate if there have been potentially dangerous exposures. By fulfilling the institution's duties under the (SI 2006/2739) by: providing information, instruction and training for employees who are exposed to asbestos (Regulation 10)</p>

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Asbestos	Records documenting the maintenance of equipment provided to control exposure to asbestos, to fulfil the institution's duties under Regulation 13 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Activities include fulfilling the institution's duties under the Control of Asbestos Regulations 2006 (SI 2006/2739) by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to		Date of examination/test/repair + 5 years	Business requirement	Control of Asbestos Regulations 2006 SI 2006/2739 Regulation 13 (3)

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Asbestos	The activities involved in controlling the exposure of staff, students and others to asbestos in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Control of Asbestos Regulations 2006 by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to asbestos (Regulation	Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, to fulfil the institution's duties under Regulation 15 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Superseded + 10 years	NA	SI 2006/2739 Regulation 15 does not prescribe a retention period for these records.  Retaining previous versions provides evidence of compliance and effective management of health and safety over time.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Asbestos	The activities involved in controlling the exposure of staff, students and others to asbestos in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Control of Asbestos Regulations 2006 (SI 2006/2739) by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided	Records documenting the institution's response to accidents, incidents and emergencies involving asbestos, to fulfil its duties under Regulation 15 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Last action on event + 10 years	NA	SI 2006/2739 Regulation 15 does not prescribe a retention period for these records.  Retaining records for a long period provides evidence of effective management of emergency situations.  A longer retention period may be appropriate if there have been potentially dangerous exposures.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Asbestos	The activities involved in controlling the exposure of staff, students and others to asbestos in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Control of Asbestos Regulations 2006 by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to asbestos (Regulation	Records documenting the conduct and results of monitoring the personal exposures of individual employees (who are required to be under medical surveillance) to asbestos, to fulfil the institution's duties under Regulation 19 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Date of monitoring + 40 years	SI 2006/2739 Regulation 19(4)(a)	

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Asbestos	The activities involved in controlling the exposure of staff, students and others to asbestos in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Control of Asbestos Regulations 2006 (SI 2006/2739) by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to	Records documenting the conduct and results of monitoring employees' general exposure to asbestos, to fulfil the institution's duties under Regulation 19 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Date of monitoring + 5 years	SI 2006/2739 Regulation 19(4)(b)	

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
HEALTH & SAFETY MANAGEMENT	Health & Safety Hazard Exposure Control - Asbestos	The activities involved in controlling the exposure of staff, students and others to asbestos in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Control of Asbestos Regulations 2006 (SI 2006/2739) by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to	Records documenting medical surveillance of individual employees who are exposed to asbestos, to fulfil the institution's duties under Regulation 22 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Date of last entry on record + 40 years	SI 2006/2739 Regulation 22(1)(b)	

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Asbestos	The activities involved in controlling the exposure of staff, students and others to asbestos in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Control of Asbestos Regulations 2006 (SI 2006/2739) by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to	Employer's copies of certificates of medical examinations of identifiable employees who are exposed to asbestos, as required by Regulation 22 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Date of certificate + 4 years	SI 2006/2739 Regulation 22(4)	In practice, these are likely to be retained as part of the health records required by Regulation 22 of SI 2006/2739.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Display Screen Equipment	Records documenting the conduct, review and revision of assessments of risks to health and safety created by using workstations, to fulfil the institution's duties under Regulation 2 of the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792).	Date superseded	10 years	Destroy	Business requirement	<p>Health &amp; Safety (Display Screen) Equipment Regulations 1992 SI 1992/2792 does not prescribe a retention period for these records.</p> <p>As a minimum, risk assessments should be retained until they are superseded.</p> <p>Retaining previous versions provides evidence of compliance and effective management of health and safety over time. Activities include fulfilling the institution's duties under SI 1992/2792 by: assessing the risks to health and safety created by using workstations (Regulation 2); .</p>
	Health & Safety Hazard Exposure Control - Display Screen Equipment	Records documenting the provision of training and information for employees using workstations, to fulfil the institution's duties under Regulations 6 and 7 of the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792).	Date superseded	5 years	Destroy	Business requirement	<p>Health &amp; Safety (Display Screen) Equipment Regulations 1992 SI 1992/2792 does not prescribe a retention period for these records. providing training (Regulation 6) and information (Regulation 7) for employees using workstations</p>

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Hazardous Substances	List of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents, required by Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677), Schedule 3, para. 4.	End of current academic year	40 years	Destroy	Statutory	Activities include fulfilling the institution's duties under the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) by: keeping a list of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents (Schedule 3, para. 4); assessing the risks to health created by exposure to substances hazardous to health (Regulation 6); providing (Regulation 7) and maintaining (Regulation 9) equipment to control exposure to substances hazardous to health; monitoring employees' exposure to substances hazardous to health (Regulation 10); conducting health surveillance of employees exposed to substances hazardous to health (Regulation 11); providing information, instruction and training for employees who are exposed to substances hazardous to health (Regulation 12); developing plans and information to deal with accidents, incidents and emergencies related to the presence of substances hazardous to health, and responding to

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Hazardous Substances	The activities involved in controlling the exposure of staff, students and others to hazardous substances in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) by: keeping a list of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents (Schedule 3, para. 4); assessing the risks to health created by exposure to substances hazardous to health (Regulation 6); providing (Regulation 7) and maintaining (Regulation 9) equipment to control exposure to substances hazardous to health; monitoring employees' exposure	Records documenting the conduct, review and revision of assessments of the risks to health created by work with substances hazardous to health, to fulfil the institution's duties under Regulation 6 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Superseded + 10 years	NA	SI 2002/2677 does not prescribe a retention period for these records.  Retaining previous versions provides evidence of compliance and effective management of health and safety over time.  A longer retention period may be appropriate if there have been potentially dangerous exposures.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Hazardous Substances	The activities involved in controlling the exposure of staff, students and others to hazardous substances in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) by: keeping a list of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents (Schedule 3, para. 4); assessing the risks to health created by exposure to substances hazardous to health (Regulation 6); providing (Regulation 7) and maintaining (Regulation 9) equipment to control exposure to substances hazardous to health; monitoring employees' exposure	Records documenting the maintenance of equipment provided to control exposure to substances hazardous to health, to fulfil the institution's duties under Regulation 9 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Date of examination/test/repair + 5 years	SI 2002/2677 Regulation 9(4)	

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Hazardous Substances	The activities involved in controlling the exposure of staff, students and others to hazardous substances in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) by: keeping a list of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents (Schedule 3, para. 4); assessing the risks to health created by exposure to substances hazardous to health (Regulation 6); providing (Regulation 7) and maintaining (Regulation 9) equipment to control exposure to substances hazardous to health; monitoring employees' exposure	Records documenting the conduct and results of monitoring the personal exposures of individual employees to substances hazardous to health, to fulfil the institution's duties under Regulation 10 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Last entry + 40 years	SI 2002/2677 Regulation 10(5)(a)	

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Hazardous Substances	The activities involved in controlling the exposure of staff, students and others to hazardous substances in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) by: keeping a list of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents (Schedule 3, para. 4); assessing the risks to health created by exposure to substances hazardous to health (Regulation 6); providing (Regulation 7) and maintaining (Regulation 9) equipment to control exposure to substances hazardous to health; monitoring employees' exposure	Records documenting the conduct and results of monitoring employees' general exposure to substances hazardous to health, to fulfil the institution's duties under Regulation 10 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Last entry + 5 years	SI 2002/2677 Regulation 10(5)(b)	

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Hazardous Substances	The activities involved in controlling the exposure of staff, students and others to hazardous substances in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) by: keeping a list of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents (Schedule 3, para. 4); assessing the risks to health created by exposure to substances hazardous to health (Regulation 6); providing (Regulation 7) and maintaining (Regulation 9) equipment to control exposure to substances hazardous to health; monitoring employees' exposure	Records documenting health surveillance of individual employees who are exposed to substances hazardous to health, to fulfil the institution's duties under Regulation 11 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Date of last entry in record + 40 years	SI 2002/2677 Regulation 11(3)	

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Hazardous Substances	The activities involved in controlling the exposure of staff, students and others to hazardous substances in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) by: keeping a list of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents (Schedule 3, para. 4); assessing the risks to health created by exposure to substances hazardous to health (Regulation 6); providing (Regulation 7) and maintaining (Regulation 9) equipment to control exposure to substances hazardous to health; monitoring employees' exposure	Records documenting the provision of information, instruction and training for employees who are exposed to substances hazardous to health, to fulfil the institution's duties under Regulation 12 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Superseded + 10 years	NA	SI 2002/2677 does not prescribe a retention period for these records.  Retaining previous versions provides evidence of compliance and effective management of health and safety over time.  A longer retention period may be appropriate if there have been potentially dangerous exposures.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Hazardous Substances	The activities involved in controlling the exposure of staff, students and others to hazardous substances in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) by: keeping a list of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents (Schedule 3, para. 4); assessing the risks to health created by exposure to substances hazardous to health (Regulation 6); providing (Regulation 7) and maintaining (Regulation 9) equipment to control exposure to substances hazardous to health; monitoring employees' exposure	Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of substances hazardous to health, to fulfil the institution's duties under Regulation 13 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Superseded + 10 years	NA	SI 2002/2677 does not prescribe a retention period for these records.  Retaining previous versions provides evidence of compliance and effective management of health and safety over time.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Hazardous Substances	The activities involved in controlling the exposure of staff, students and others to hazardous substances in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) by: keeping a list of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents (Schedule 3, para. 4); assessing the risks to health created by exposure to substances hazardous to health (Regulation 6); providing (Regulation 7) and maintaining (Regulation 9) equipment to control exposure to substances hazardous to health; monitoring employees' exposure	Records documenting the institution's response to accidents, incidents and emergencies involving substances hazardous to health, to fulfil the institution's duties under Regulation 13 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Last action on event + 10 years	NA	SI 2002/2677 does not prescribe a retention period for these records.  Retaining records for a long period provides evidence of effective management of emergency situations.  A longer retention period may be appropriate if there have been potentially dangerous exposures.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Ionising Radiation	The activities involved in controlling the exposure of staff, students and others to ionising radiation in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation	Records documenting the conduct, review and revision of assessments of the risks to health created by work with ionising radiation, to fulfil the institution's duties under Regulation 7 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Superseded + 10 years	NA	SI 1999/3232 Regulation 7 does not prescribe a retention period for these records.  Retaining previous versions provides evidence of compliance and effective management of health and safety over time.  A longer retention period may be appropriate if there have been potentially dangerous exposures.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Ionising Radiation	The activities involved in controlling the exposure of staff, students and others to ionising radiation in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation	Records documenting the maintenance of personal protective equipment provided to control exposure to ionising radiation, to fulfil the institution's duties under Regulation 10 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of examination/test/repair + 2 years	SI 1999/3232 Regulation 10(2)	

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Ionising Radiation	The activities involved in controlling the exposure of staff, students and others to ionising radiation in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation	Records documenting the maintenance of other equipment provided to control exposure to ionising radiation, to fulfil the institution's duties under Regulation 10 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of examination/test/repair + 5 years	NA	SI 1999/3232 does not prescribe a retention period for these records.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Ionising Radiation	The activities involved in controlling the exposure of staff, students and others to ionising radiation in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation	Records documenting the preparation of contingency plans to deal with radiation accidents, to fulfil the institution's duties under Regulation 12 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Superseded	NA	SI 1999/3232 does not prescribe a retention period for these records.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Ionising Radiation	The activities involved in controlling the exposure of staff, students and others to ionising radiation in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation	Records documenting the provision of information, instruction and training for employees who are exposed to ionising radiation, to fulfil the institution's duties under Regulation 14 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Superseded + 10 years	NA	SI 1999/3232 does not prescribe a retention period for these records.  Retaining previous versions provides evidence of compliance and effective management of health and safety over time.  A longer retention period may be appropriate if there have been potentially dangerous exposures.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Ionising Radiation	The activities involved in controlling the exposure of staff, students and others to ionising radiation in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation	Records documenting the maintenance and testing of equipment for monitoring levels of ionising radiation, to fulfil the institution's duties under Regulation 19 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of maintenance/testing + 2 years	SI 1999/3232 Regulation 19(4)(c)	

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Ionising Radiation	The activities involved in controlling the exposure of staff, students and others to ionising radiation in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation	Records documenting the monitoring of levels of ionising radiation in designated controlled areas, to fulfil the institution's duties under Regulation 19 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of monitoring + 2 years	SI 1999/3232 Regulation 19(4)(c)	

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Ionising Radiation	The activities involved in controlling the exposure of staff, students and others to ionising radiation in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation	Records documenting assessments of doses of ionising radiation received by 'classified persons' which are likely to be significant, to fulfil the institution's duties under Regulation 21 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of assessment + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	SI 1999/3232 Regulation 21(3)(a)	Dose records are usually made and maintained by a dosimetry service on behalf of an employer. A dosimetry service provides summaries of dose records to an employer on whose behalf it makes and maintains the records.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Ionising Radiation	The activities involved in controlling the exposure of staff, students and others to ionising radiation in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation	Summaries of dose records, as required by Regulation 21 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Current year + 2 years	SI 1999/3232 Regulation 21(7)	

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Ionising Radiation	The activities involved in controlling the exposure of staff, students and others to ionising radiation in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation	Records documenting investigations into the exposure of 'classified persons' to ionising radiation, to fulfil the institution's duties under Regulation 22 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of report of investigation + 2 years	SI 1999/3232 Regulation 22(4)	

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Ionising Radiation	Records documenting assessments of individual doses of ionising radiation received as a result of a radiation accident, to fulfil the institution's duties under Regulation 23 of the Ionising Radiations Regulations 1999 (SI 1999/3232).			Date of accident + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	SI 1999/3232 Regulation 23(2)(b)	Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation (Regulation 19); monitoring of levels of ionising radiation in designated controlled areas (Regulation 19); assessing doses of ionising radiation received by 'classified persons' which are likely to be significant (Regulation 21); investigating the exposure of 'classified persons' to ionising radiation (Regulation 22); assessments of individual doses of ionising radiation received as a result of a radiation accident (Regulation 23); conducting medical surveillance of individual employees

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Ionising Radiation	Records documenting medical surveillance of individual employees who are exposed to ionising radiation and are required to be under medical surveillance, to fulfil the institution's duties under Regulation 24 of the Ionising Radiations Regulations 1999 (SI 1999/3232).			Date of last entry + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	SI 1999/3232 Regulation 24(3)	Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation (Regulation 19); monitoring of levels of ionising radiation in designated controlled areas (Regulation 19); assessing doses of ionising radiation received by 'classified persons' which are likely to be significant (Regulation 21); investigating the exposure of 'classified persons' to ionising radiation (Regulation 22); assessments of individual doses of ionising radiation received as a result of a radiation accident (Regulation 23); conducting medical surveillance of individual employees

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Ionising Radiation	Reports of immediate investigations into possible overexposure to ionising radiation, to fulfil the institution's duties under Regulation 25 of the Ionising Radiations Regulations 1999 (SI 1999/3232).			Date of report of investigation + 2 years	SI 1999/3232 Regulation 25(2)(a)	Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation (Regulation 19); monitoring of levels of ionising radiation in designated controlled areas (Regulation 19); assessing doses of ionising radiation received by 'classified persons' which are likely to be significant (Regulation 21); investigating the exposure of 'classified persons' to ionising radiation (Regulation 22); assessments of individual doses of ionising radiation received as a result of a radiation accident (Regulation 23); conducting medical surveillance of individual employees

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Ionising Radiation	Reports of investigations into occurrences of overexposure to ionising radiation, to fulfil the institution's duties under Regulation 25 of the Ionising Radiations Regulations 1999 (SI 1999/3232).			Date of report + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	SI 1999/3232 Regulation 25(2)(b)	Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation (Regulation 19); monitoring of levels of ionising radiation in designated controlled areas (Regulation 19); assessing doses of ionising radiation received by 'classified persons' which are likely to be significant (Regulation 21); investigating the exposure of 'classified persons' to ionising radiation (Regulation 22); assessments of individual doses of ionising radiation received as a result of a radiation accident (Regulation 23); conducting medical surveillance of individual employees

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Ionising Radiation	Records documenting tests to detect leakage from articles containing or embodying radioactive substances, to fulfil the institution's duties under Regulation 27 of the Ionising Radiations Regulations 1999 (SI 1999/3232).			Completion of subsequent test on article OR Disposal of article + 2 years.	SI 1999/3232 Regulation 27(3)	Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation (Regulation 19); monitoring of levels of ionising radiation in designated controlled areas (Regulation 19); assessing doses of ionising radiation received by 'classified persons' which are likely to be significant (Regulation 21); investigating the exposure of 'classified persons' to ionising radiation (Regulation 22); assessments of individual doses of ionising radiation received as a result of a radiation accident (Regulation 23); conducting medical surveillance of individual employees

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Ionising Radiation	Records of the quantity and location of radioactive substances, to fulfil the institution's duties under Regulation 28 of the Ionising Radiations Regulations 1999 (SI 1999/3232).			Disposal of radioactive substance + 2 years OR Date of record + 2 years, whichever is the longer.	SI 1999/3232 Regulation 28	Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation (Regulation 19); monitoring of levels of ionising radiation in designated controlled areas (Regulation 19); assessing doses of ionising radiation received by 'classified persons' which are likely to be significant (Regulation 21); investigating the exposure of 'classified persons' to ionising radiation (Regulation 22); assessments of individual doses of ionising radiation received as a result of a radiation accident (Regulation 23); conducting medical surveillance of individual employees

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Ionising Radiation	Records documenting immediate investigations into possible accidental release or theft of radioactive substances, where no release or theft was found to have occurred, to fulfil the institution's duties under Regulation 30 of the Ionising Radiations Regulations 1999 (SI 1999/3232).			Date of report + 2 years	SI 1999/3232 Regulation 30	Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation (Regulation 19); monitoring of levels of ionising radiation in designated controlled areas (Regulation 19); assessing doses of ionising radiation received by 'classified persons' which are likely to be significant (Regulation 21); investigating the exposure of 'classified persons' to ionising radiation (Regulation 22); assessments of individual doses of ionising radiation received as a result of a radiation accident (Regulation 23); conducting medical surveillance of individual employees

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Ionising Radiation	Records documenting immediate investigations into possible accidental release or theft of radioactive substances, where accidental release or theft was found to have occurred, to fulfil the institution's duties under Regulation 30 of the Ionising Radiations Regulations 1999 (SI 1999/3232).			Date of report + 50 years	SI 1999/3232 Regulation 30	Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation (Regulation 19); monitoring of levels of ionising radiation in designated controlled areas (Regulation 19); assessing doses of ionising radiation received by 'classified persons' which are likely to be significant (Regulation 21); investigating the exposure of 'classified persons' to ionising radiation (Regulation 22); assessments of individual doses of ionising radiation received as a result of a radiation accident (Regulation 23); conducting medical surveillance of individual employees

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Lead	Records documenting the conduct, review and revision of assessments of the risks to health created by work involving lead, to fulfil the institution's duties under Regulation 5 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).			Superseded + 10 years	NA	<p>SI 2002/2676 Regulation 5 implies that the records should be retained until the risk assessment is superseded.</p> <p>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</p> <p>A longer retention period may be appropriate if there have been potentially dangerous exposures. Activities include fulfilling the institution's duties under the Control of Lead at Work Regulations 2002 (SI 2002/2676) by: assessing the risks to health created by work involving lead (Regulation 5); providing (Regulation 6) and maintaining (Regulation 8) equipment to control exposure to lead; monitoring employees' exposure to lead (in air) (Regulation 9); conducting medical surveillance of individual employees who are exposed to lead (Regulation 10); providing information, instruction and training for employees who are exposed to lead (Regulation 11); developing plans and information to deal with accidents, incidents and</p>

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Lead	Records documenting the maintenance of equipment provided to control exposure to lead, to fulfil the institution's duties under Regulation 8 of the Control of Lead at Work Regulations 2002 (SI 2002/2676), Regulation 8 (4).	Date of examination / test/ repair	5 years	Destroy	Statutory	Control of Lead at Work Regulations 2002 (SI 2002/2676). Activities include fulfilling the institution's duties under the Control of Lead at Work Regulations 2002 by: assessing the risks to health created by work involving lead (Regulation 5); providing (Regulation 6) and maintaining (Regulation 8) equipment to control exposure to lead; monitoring employees' exposure to lead (in air) (Regulation 9); conducting medical surveillance of individual employees who are exposed to lead (Regulation 10); providing information, instruction and training for employees who are exposed to lead (Regulation 11); developing plans and information to deal with accidents, incidents and emergencies related to the presence of lead, and responding to emergencies which occur (Regulation 12).

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Lead	Records documenting the conduct and results of monitoring employees' general exposure to lead (in air), to fulfil the institution's duties under Regulation 9 of the Control of Lead at Work Regulations 2002 (SI 2002/2676) Regulation 9(4).	Date of last entry	5 years	Destroy	Statutory	Control of Lead at Work Regulations 2002 (SI 2002/2676) Activities include fulfilling the institution's duties under the Control of Lead at Work Regulations 2002 by: assessing the risks to health created by work involving lead (Regulation 5); providing (Regulation 6) and maintaining (Regulation 8) equipment to control exposure to lead; monitoring employees' exposure to lead (in air) (Regulation 9); conducting medical surveillance of individual employees who are exposed to lead (Regulation 10); providing information, instruction and training for employees who are exposed to lead (Regulation 11); developing plans and information to deal with accidents, incidents and emergencies related to the presence of lead, and responding to emergencies which occur (Regulation 12).

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Lead	Records documenting medical surveillance of individual employees who are exposed to lead, to fulfil the institution's duties under Regulation 10 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Date of last entry	40 years	Destroy		Control of Lead at Work Regulations SI 2002/2676 Regulation 10(5) Activities include fulfilling the institution's duties under the Control of Lead at Work Regulations 2002 by: assessing the risks to health created by work involving lead (Regulation 5); providing (Regulation 6) and maintaining (Regulation 8) equipment to control exposure to lead; monitoring employees' exposure to lead (in air) (Regulation 9); conducting medical surveillance of individual employees who are exposed to lead (Regulation 10); providing information, instruction and training for employees who are exposed to lead (Regulation 11); developing plans and information to deal with accidents, incidents and emergencies related to the presence of lead, and responding to emergencies which occur (Regulation 12).

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Lead	Records documenting the provision of information, instruction and training for employees who are exposed to lead, to fulfil the institution's duties under Regulation 11 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Date superseded	10 years	Destroy	Business requirement	<p>Control of Lead at Work Regulations 2002 SI 2002/2676 does not prescribe a retention period for these records.</p> <p>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</p> <p>A longer retention period may be appropriate if there have been potentially dangerous exposures. Activities include fulfilling the institution's duties under the Control of Lead at Work Regulations 2002 by: assessing the risks to health created by work involving lead (Regulation 5); providing (Regulation 6) and maintaining (Regulation 8) equipment to control exposure to lead; monitoring employees' exposure to lead (in air) (Regulation 9); conducting medical surveillance of individual employees who are exposed to lead (Regulation 10); providing information, instruction and training for employees who are exposed to lead (Regulation 11); developing plans and information to deal with accidents, incidents and</p>

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Lead	Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of lead, to fulfil the institution's duties under Regulation 12 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Date superseded	10 years	Destroy	Statutory	Control of Lead at Work Regulations 2002 SI 2002/2676 does not prescribe a retention period for these records.  Retaining previous versions provides evidence of compliance and effective management of health and safety over time. Activities include fulfilling the institution's duties under the Control of Lead at Work Regulations 2002 by: assessing the risks to health created by work involving lead (Regulation 5); providing (Regulation 6) and maintaining (Regulation 8) equipment to control exposure to lead; monitoring employees' exposure to lead (in air) (Regulation 9); conducting medical surveillance of individual employees who are exposed to lead (Regulation 10); providing information, instruction and training for employees who are exposed to lead (Regulation 11); developing plans and information to deal with accidents, incidents and emergencies related to the presence of lead, and responding to emergencies which occur (Regulation 12).

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Lead	Records documenting the institution's response to accidents, incidents and emergencies involving lead, to fulfil the institution's duties under Regulation 12 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Last action relating to event	10 years	Destroy	Business requirement	<p>Control of Lead at Work Regulations 2002 SI 2002/2676 does not prescribe a retention period for these records.</p> <p>Retaining records for a long period provides evidence of effective management of emergency situations.</p> <p>A longer retention period may be appropriate if there have been potentially dangerous exposures. Activities include fulfilling the institution's duties under the Control of Noise at Work Regulations 2005 (SI 2005/1643) by: assessing the risks to health and safety created by exposure to noise (Regulation 5); providing (Regulation 7) and maintaining (Regulation 8) personal protective equipment to control exposure to noise; conducting health surveillance of employees who are exposed to noise (Regulation 9); providing information, instruction and training for employees exposed to noise (Regulation 10).</p>

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Noise	Records documenting the conduct, review and revision of assessments of the risks to health and safety created by exposure to noise, made to fulfil the institution's duties under Regulation 5 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Date superseded	10 years	Destroy	Business requirement	Control of Noise at Work Regulations 2005 SI 2005/1643 does not prescribe a retention period for these records.  Retaining previous versions provides evidence of compliance and effective management of health and safety over time. Activities include fulfilling the institution's duties under the Control of Noise at Work Regulations 2005 (SI 2005/1643) by: assessing the risks to health and safety created by exposure to noise (Regulation 5); providing (Regulation 7) and maintaining (Regulation 8) personal protective equipment to control exposure to noise; conducting health surveillance of employees who are exposed to noise (Regulation 9); providing information, instruction and training

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Noise	Records documenting the provision of personal protective equipment to employees, to fulfil the institution's duties under Regulation 7 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Date of return of used equipment	1 year	Destroy	Common audit requirement	A record of the issue of personal protective equipment should be included in an employee's staff record. See HUMAN RESOURCES MANAGEMENT - EMPLOYEE CONTRACT MANAGEMENT. Activities include fulfilling the institution's duties under the Control of Noise at Work Regulations 2005 (SI 2005/1643) by: assessing the risks to health and safety created by exposure to noise (Regulation 5); providing (Regulation 7) and maintaining (Regulation 8) equipment to control exposure to noise; conducting health surveillance of employees who are exposed to noise (Regulation 9); providing information, instruction and training for employees exposed to noise (Regulation 10).

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Noise	Records documenting the maintenance of equipment provided to control exposure to noise, to fulfil the institution's duties under Regulation 8 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Date of examination / test/ repair	5 years	Destroy	Business requirement	Control of Noise at Work Regulations 2005 SI 2005/1643 does not prescribe a retention period for these records.  Retaining previous versions provides evidence of compliance and effective management of health and safety over time. Activities include fulfilling the institution's duties under the Control of Noise at Work Regulations 2005 (SI 2005/1643) by: assessing the risks to health and safety created by exposure to noise (Regulation 5); providing (Regulation 7) and maintaining (Regulation 8) equipment to control exposure to noise; conducting health surveillance of employees who are exposed to noise (Regulation 9); providing information, instruction

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Noise	Records documenting health surveillance of employees who are exposed to noise, carried out to fulfil the institution's duties under Regulation 9 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Date of last entry in the record	40 years	Destroy	Business requirement	SI 2005/1643 does not specify a retention period for these records. Activities include fulfilling the institution's duties under the Control of Noise at Work Regulations 2005 (SI 2005/1643) by: assessing the risks to health and safety created by exposure to noise (Regulation 5); providing (Regulation 7) and maintaining (Regulation 8) equipment to control exposure to noise; conducting health surveillance of employees who are exposed to noise (Regulation 9); providing information, instruction and training for employees exposed to noise (Regulation 10).

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Hazard Exposure Control - Noise	Records documenting the provision of information, instruction and training for employees who are exposed to noise, to fulfil the institution's duties under Regulation 10 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Date superseded	10 years	Destroy	Business requirement	Control of Noise at Work Regulations 2005 SI 2005/1643 does not prescribe a retention period for these records.  Retaining previous versions provides evidence of compliance and effective management of health and safety over time. Activities include fulfilling the institution's duties under SI 2005/1643 by: providing information, instruction and training for employees exposed to noise (Regulation 10).
	Health & Safety Hazard Identification & Risk Assessment	Records documenting the conduct, review and revision of risk assessments made to fulfil the institution's duties under Regulation 3 of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242) and except where specified elsewhere in this Records Retention Schedule.	Date superseded	5 years	Destroy	Business requirement	Management of Health and Safety at Work Regulations 1999 SI 1999/3242 does not prescribe a retention period for these records.  As a minimum, risk assessments should be retained until they are superseded.  Retaining previous versions provides evidence of compliance and effective management of health and safety over time.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Incident Management	Records documenting the conduct, review and revision of fire safety risk assessments to fulfil the institution's duties under Article 9 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541) or Section 53 and/or Section 54 of the Fire (Scotland) Act 2005 (asp 5).	Date superseded	5 years	Destroy	Business requirement	Neither SI 2005/1541 nor 2005 asp 5 prescribes a retention period for these records.  Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
	Health & Safety Incident Management	Records documenting fire safety arrangements made to fulfil the institution's duties under Article 11 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Date superseded	5 years	Destroy	Business requirement	Regulatory Reform (Fire Safety) Order 2005 SI 2005/1541 does not prescribe a retention period for these records.  Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
	Health & Safety Incident Management	Records documenting the nomination of 'competent persons' to implement fire-fighting measures to fulfil the institution's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Termination of status as 'competent person'		Destroy	Business requirement	Regulatory Reform (Fire Safety) Order 2005 SI 2005/1541 does not prescribe a retention period for these records.  Retention of these records must comply with the provisions of the Data Protection Act 1998 (c. 29).  'Competent persons' in this context are often referred to as 'fire wardens' or similar.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Incident Management	Records documenting the provision of role-specific training for 'competent persons' to implement fire-fighting measures in the institution's premises to fulfil the institution's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	End of current academic year OR Date superseded	5 years	Destroy	Business requirement	SI 2005/1541 does not prescribe a retention period for these records.  Retaining information about previous training provides evidence of compliance and effective management of health and safety over time.
	Health & Safety Incident Management	Records documenting the conduct, review and revision of assessments of requirements for fire-fighting equipment and for fire detectors and alarms to fulfil the institution's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	End of review	5 years	Destroy	Business requirement	Regulatory Reform (Fire Safety) Order 2005 SI 2005/1541 does not prescribe a retention period for these records.  Retaining information about previous assessments provides evidence of compliance and effective management of health and safety over time.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Incident Management	Records documenting the maintenance of premises, facilities and equipment to fulfil the institution's duties under Article 17 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	End of current year	5 years	Destroy	Business requirement	Regulatory Reform (Fire Safety) Order 2005 SI 2005/1541 does not prescribe a retention period for these records.  Retaining maintenance history provides evidence of compliance and effective management of health and safety over time.  Also see: ESTATE MANAGEMENT - PREMISES MAINTENANCE; FACILITIES MANAGEMENT - FACILITIES MAINTENANCE; EQUIPMENT & CONSUMABLES MANAGEMENT - EQUIPMENT MAINTENANCE.
	Health & Safety Incident Management	Records documenting the appointment of 'competent persons' to assist in implementing fire safety measures to fulfil the institution's duties under Article 18 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Termination of status as 'competent person'		Destroy	Business requirement	Regulatory Reform (Fire Safety) Order 2005 SI 2005/1541 does not prescribe a retention period for these records.  'Competent persons' in this context are often referred to as 'fire wardens' or similar.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Incident Management	Records documenting the conduct and review of safety drills to fulfil the institution's duties under Article 15 of the Regulatory Reform (Fire safety) Order 2005 (SI 2005/1541).	End of current academic year OR Date superseded	5 years	Destroy	Business requirement	Regulatory Reform (Fire Safety) Order 2005 SI 2005/1541 does not prescribe a retention period for these records.  Retaining information about previous drills etc. provides evidence of compliance and effective management of health and safety over time.
	Health & Safety Incident Management	Records documenting arrangements with external emergency services for the provision of first-aid, emergency medical care, fire-fighting and rescue services (including the provision of information on the institution's emergency procedures and arrangements) to fulfil the institution's duties under Article 16 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	End of current academic year OR Date superseded	5 years	Destroy	Business requirement	Regulatory Reform (Fire Safety) Order 2005 SI 2005/1541 does not prescribe a retention period for these records.  Retaining information about previous arrangements provides evidence of compliance and effective management of health and safety over time.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Incident Management	Records documenting the maintenance of premises, facilities and equipment provided for the use by, or the protection of, fire-fighters to fulfil the institution's duties under Article 38 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	End of current year	5 years	Destroy	Business requirement	Regulatory Reform (Fire Safety) Order 2005 SI 2005/1541 does not prescribe a retention period for these records.  Retaining maintenance history provides evidence of compliance and effective management of health and safety over time.  Also see: ESTATE MANAGEMENT - PREMISES MAINTENANCE; FACILITIES MANAGEMENT - FACILITIES MAINTENANCE; EQUIPMENT & CONSUMABLES MANAGEMENT - EQUIPMENT MAINTENANCE.
	Health & Safety Incident Management	Records documenting the provision of fire safety training to employees to fulfil the institution's duties under Article 21 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	End of current academic year OR Date superseded	5 years	Destroy	Business requirement	SI 2005/1541 does not prescribe a retention period for these records.  Retaining information about previous training provides evidence of compliance and effective management of health and safety over time.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Incident Management	Records documenting planning for the handling of health and safety incidents (including fires) on the institution's premises, and in responding to incidents which occur, such as appointment of first aiders.	Termination of appointment		Destroy	Business requirement	
	Health & Safety Incident Management	Records documenting the provision of approved training for first aiders to fulfil the institution's duties under Regulation 3 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917).	End of current academic year OR Date superseded	3 years	Destroy	Business requirement	SI 1981/917 does not prescribe a retention period for these records.  Retaining information about previous training provides evidence of compliance and effective management of health and safety over time.
	Health & Safety Incident Management	Records documenting the provision of information about first aid arrangements to employees, to fulfil the institution's duties under Regulation 4 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917).	Date superseded	3 years	Destroy	Business requirement	SI 1981/917 does not prescribe a retention period for these records.  Retaining previous information provides evidence of compliance and effective management of health and safety over time.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Incident Management	Records documenting the conduct, review and revision of assessments of requirements for first aid facilities, equipment and trained personnel to fulfil the institution's duties under Regulation 3 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917).	Date superseded	3 years	Destroy	Business requirement	SI 1981/917 does not prescribe a retention period for these records.  Retaining information about previous arrangements provides evidence of compliance and effective management of health and safety over time.
	Health & Safety Incident Recording, Reporting & Investigation	Records of injuries, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises, to fulfil the institution's duties under Regulation 7 of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (SI 1995/3163).	Date of recording	3 years	Destroy	SI 1995/3163 Regulation 7(3) SI 1993/2113 Regulation 2	The contents of records to be kept are specified in Schedule 4 of SI 1995/3163. Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (SI 1995/3163) by recording the details of injuries, dangerous occurrences and outbreaks of notifiable diseases (Regulation 7).

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Incident Recording, Reporting & Investigation	Records documenting the investigation of accidents, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises.	Closure of investigation	40 years	Destroy	Statutory	Activities include fulfilling the institution's duties under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (SI 1995/3163) by recording the details of injuries, dangerous occurrences and outbreaks of notifiable diseases (Regulation 7).
	Health & Safety Incident Recording, Reporting & Investigation	Records documenting the notification and reporting (to the relevant enforcing authorities) of reportable accidents, dangerous occurrences and outbreaks of notifiable diseases to enforcing authorities.	Date of notification	3 years	Destroy	Statutory	Activities include fulfilling the institution's duties under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (SI 1995/3163) by recording the details of injuries, dangerous occurrences and outbreaks of notifiable diseases (Regulation 7).
	Health & Safety Information, Instruction & Training Provision	Records documenting the provision of health and safety information, instruction and training for employees, students and others, except where specified elsewhere in this Records Retention Schedule.	End of current academic year OR date superseded	5 years OR 5 years	Destroy	Business requirement	The following regulations require information, instruction and training to be provided but do not prescribe retention periods for records relating to this activity: SI 1989/635; SI 1989/682; SI 1992/2792; SI 1992/2793; SI 1996/341; SI 1998/2306; SI 1999/3242.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Inspection	Records documenting the conduct and results of health and safety inspections of the institution's land, buildings, facilities or operations, and action taken to address issues raised.	End of current academic year OR date superseded	5 years OR 1 year	Destroy	Business requirement	Retaining previous versions provides evidence of compliance and effective management of health and safety over time.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Management Policy Development	Records documenting the development and establishment of the institution's policies on health and safety: key records.	Date superseded	50 years	Destroy	Business requirement	<p>The Health and Safety at Work etc. Act 1974 (c.37), s 2(3) requires every employer to have '... a written statement of his general policy with respect to the health and safety at work of his employees and the organisation and arrangements for ... carrying out that policy ...'.</p> <p>These records also meet the requirement to document the institution's health and safety arrangements for the planning, organisation, control, monitoring and review of preventive and protective measures, as set out by Regulation 5(2) of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242).</p> <p>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</p>
	Health & Safety Management Policy Development	Records documenting the development and establishment of the institution's policies on health and safety: working papers.	Date policy issued	1 year	Destroy	Business requirement	

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Management Procedure Development	Records documenting the development of the institution's procedures relating to the management of health and safety.	Date procedures issued	1 year	Destroy	Business requirement	
	Health & Safety Management Procedure Development	Master copies of procedures relating to the management of health and safety.	Date superseded	50 years	Destroy	Statutory	These records meet the requirement to document the institution's health and safety arrangements for the planning, organisation, control, monitoring and review of preventive and protective measures, as set out by Regulation 5(2) of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242).  Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
	Health & Safety Strategy Development	Records documenting the development and establishment of the institution's health and safety strategy: key records.	Date superseded	10 years	Destroy	Business requirement	

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Health & Safety Strategy Development	Records documenting the development and establishment of the institution's health and safety strategy: working papers.	Date strategy issued	1 year	Destroy	Business requirement	
02.007	LEGAL AFFAIRS MANAGEMENT	The function of managing the institution's legal affairs.					
	Contracts & Agreements Management	Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties : agreements and contracts under seal (by deed).	Termination of contract	12 years	Confidential destruction	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45
	Contracts & Agreements Management	Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties : other contracts and agreements.	Termination of contract	6 years	Confidential destruction	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45
	Legal Advice	Records associated with providing legal opinions and advice to the institution.	Life of institution			Business requirement	Review for historical value.

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Legal Advice	Records documenting legal advice on other matters requested by, and provided to, the institution.	Date superseded	5 years	NA	Business requirement	Review for historical value.
	Legal Affairs Management Policy Development	Records documenting the development and establishment of the institution's policies on the management of legal affairs: key records.	Date superseded	5 years	NA	Business requirement	Review for historical value.
	Legal Affairs Management Policy Development	Records documenting the development and establishment of the institution's policies on the management of legal affairs: working papers.	Date policy issued	1 year	Confidential destruction	Business requirement	
	Legal Affairs Management Procedure Development	Records documenting the development of the institution's procedures relating to the management of legal affairs.	Date procedures issued	1 year	Confidential destruction	Business requirement	
	Legal Affairs Management Procedure Development	Master copies of procedures relating to the management of legal affairs.	Date superseded	5 years	Confidential destruction	Business requirement	

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Legal Claims Management	Records documenting the provision of legal support and representation for the institution in dealing with claims by or against the institution which do not proceed to litigation or settlement by an agreement.	Settlement of claim OR Withdrawal of claim	6 years	Confidential destruction	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45
	Litigation Management	Records documenting litigation between the institution and third parties where legal precedents are set.			Life of institution	NA	
	Litigation Management	Records documenting litigation between the institution and third parties which does not set legal precedents, may include: briefing counsel; providing documents required by a court; consulting with other agencies.			Settlement of case + 6 years	1980 c. 58 ss 2 and 5	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45
02.008	ORGANISATIONAL DEVELOPMENT	The function of developing the institution's organisational structure and culture.					

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Organisational Development Policy Development	Records documenting the development and establishment of the institution's organisational development policies: key records.	Date superseded	5 years	Destroy	Business requirement	
	Organisational Development Policy Development	Records documenting the development and establishment of the institution's organisational development policies: working papers.	Date policy issued	1 year	Destroy	Business requirement	
	Organisational Development Procedure Development	Records documenting the development of the institution's procedures relating to organisational development.	Date procedures issued	1 year	Destroy	Business requirement	
	Organisational Development Procedure Development	Master copies of procedures relating to organisational development.	Date superseded	3 years	Destroy	Business requirement	
	Organisational Restructuring	Records documenting the management of individual organisational restructuring processes.	Date process completed	5 years	Destroy	Business requirement	
	Organisational Strategy Development	Records documenting the development and establishment of the institution's organisational strategy: key records.	Date superseded	5 years	Destroy	Business requirement	

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Organisational Strategy Development	Records documenting the development and establishment of the institution's organisational strategy: working papers.	Date strategy issued	1 year	Destroy	Business requirement	
02.009	QUALITY MANAGEMENT	The function of managing overall quality in the institution.					
	Quality Audit	Records documenting the conduct and results of quality audits, and action taken to address issues raised.	Completion of audit	3 years	Destroy	Business requirement	
	Quality Management Policy Development	Records documenting the development and establishment of the institution's quality management policies: key records.	Date superseded	5 years	Destroy	Business requirement	
	Quality Management Policy Development	Records documenting the development and establishment of the institution's quality management policies: working papers.	Date policy issued	1 year	Destroy	Business requirement	
	Quality Management Procedure Development	Records documenting the development of the institution's procedures relating to quality management.	Date procedures issued	1 year	Destroy	Business requirement	

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Quality Management Procedure Development: key records	Master copies of procedures relating to quality management.	Date superseded	3 years	Destroy	Business requirement	
	Quality Management Scheme Accreditation Management	Records documenting the attainment and maintenance of the institution's accreditation under established independent quality management schemes.	Date accreditation terminated	1 year	Destroy	Business requirement	
	Quality Strategy Development:key records	Records documenting the development and establishment of the institution's quality management strategy: .	Date superseded	5 years	Destroy	Business requirement	
	Quality Strategy Development: working papers	Records documenting the development and establishment of the institution's quality management strategy: working papers.	Date strategy issued	1 year	Destroy	Business requirement	
02.010	RISK MANAGEMENT	The activities involved in managing risks to the viability or success of the institution.					
	Business Continuity Planning	Records documenting the formulation, testing and maintenance of disaster response and recovery plans.	Date superseded	1 year	Destroy	Business requirement	

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Risk Identification & Assessment	Records documenting identified risks to the institution and assessments of those risks.	Date superseded	1 year	Destroy	Business requirement	
	Risk Management Policy Development	Records documenting the development and establishment of the institution's risk management policies: key records.	Date superseded	5 years	Destroy	Business requirement	
	Risk Management Policy Development: working papers	Records documenting the development and establishment of the institution's risk management policies: working papers.	Date policy issued	1 year	Destroy	Business requirement	
	Risk Management Procedure Development	Records documenting the development of the institution's procedures relating to risk management.	Date procedures issued	1 year	Destroy	Business requirement	
	Risk Management Procedure Development	Master copies of procedures relating to risk management.	Date superseded	3 years	Destroy	Business requirement	
	Risk Management Strategy Development: key records	Records documenting the development and establishment of the institution's risk management strategy: key records.	Date superseded	5 years	Destroy	Business requirement	

Ref.	Activity/ Records Series	Description/ Example Record Types from the McLellan Store	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Risk Management Strategy Development: working papers	Records documenting the development and establishment of the institution's risk management strategy: working papers.	Date strategy issued	1 year	Destroy	Business requirement	