



R2972 A3 TfL information and records disposal schedule: Health and Safety (last updated 12 March 2018)

Purpose

The information and records disposal schedule which follows forms part of a set of corporate schedules for Transport for London (TfL). The schedules provide evidence of compliance with legislation such as the General Data Protection Regulation and the Freedom of Information Act 2000, as well as adherence to TfL's [Information and Records Management Policy](#) and TfL's commitment to [transparency](#).

The schedules assist TfL to:

- Reduce multiple sets of identical records and data.
- Remove obsolete or inaccurate information.
- Improve business processes.
- Meet legislative compliance requirements.
- Create corporate rules for records disposal as part of new system implementation.

The schedules will be revised every two years or more frequently if required. They are generic documents covering records relating to the following functions:

Schedule	Reference
Contracts and Procurement	CP
Corporate Governance	CG
Employment and Pensions	EP
Finance	FN
Health and Safety	HS
Information Management	IM
Property	PY

Disclaimer

Any disposal schedule is by its nature a work in progress; it may be incomplete due to time restraints or complete at the time of publication but require amendments, additions and deletions at a future date.

Note on records disposal

There are only two ways to dispose of records:

- Destroy them at a given time *or*
- Keep them permanently as part of TfL's historical record.

Records of permanent value should be transferred to the [TfL Corporate Archives](#). Hard copy (paper) records and information on portable digital media which have to be kept for a period of time before destruction (e.g. longer than 1 year after closure) should be transferred to the [TfL Records Stores](#).

Destruction of records in accordance with the provisions of this schedule will be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation.

Scope

- The schedule below covers records relating to TfL's health and safety functions.
- For health and safety records relating to buildings see the [Property and Assets](#) records disposal schedule.
- For health and safety assessments and medical records relating to individual TfL employees see the [Employment and Pensions](#) records disposal schedule.
- For health and safety policies see the [Corporate Governance](#) records disposal schedule.

The provisions of the schedule are to be applied to data in all formats (electronic or paper) and in all storage locations, whether active or inactive, other than to information stored on backup tapes or discs, which are subject to a different set of disposal rules based on disaster recovery requirements, and emails held in the Symantec Enterprise Archive Vault, which has a single retention policy applied to all content once ingested into the Vault. See the *Information Management* schedule for an explanation of the retention rules applied to backup tapes or discs and the 'email archive'.

The Schedule: Health and Safety (Ref: HS)

Contents

HS1	Health monitoring
HS2	Safety monitoring
HS3	Hazardous waste disposal
HS4	Health and safety procedures
HS5	Transport safety monitoring

Abbreviations and acronyms

CIRS	CentreComm Information Retrieval System
CuPID	Contract Performance Information Database
DLR	Docklands Light Railway
DSE	Display screen equipment
EIRF	Electronic Incident Report Form
HSE	Health, Safety & Environment
H&S	Health and Safety
ICSA	Institute of Chartered Secretaries and Administrators
LU	London Underground
LU	London Underground Control Centre
LUSEA	London Underground Safety and Environmental Analysis System
MICCS	Multi-modal Integrated Command and Control System
NIMROD	Network Incident Monitor Real-time Operations Display
ORR	Office of Rail and Road
SQE	Safety Quality & Environment (LU)
TfL	Transport for London

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HS1. Health monitoring										
HS1.1	Record of monitoring the exposure of employees to substances hazardous to health where the record is representative of the personal exposure of identifiable employees	Requirement under The Control of Substances Hazardous to Health Regulations 2002 Reg 10 (5)	Electronic/hard copy	Corporate HSE; Local H&S teams	40 years where exposure is such that a health record is required to be kept under Regulation The Control of Substances Hazardous to Health Regulations 2002 Reg 10 (5)	Last entry	41 years	Destroy	To assist in defending any legal claims	Individual employee health records are held by Occupational Health: see Employment and Pensions records disposal schedule

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HS1.2	Record of monitoring the exposure of employees to substances hazardous to health where the record is <i>not</i> representative of the personal exposure of identifiable employees	Requirement under The Control of Substances Hazardous to Health Regulations 2002 Reg 10 (5)	Electronic/hard copy	Corporate HSE; Local H&S teams	5 years The Control of Substances Hazardous to Health Regulations 2002 Reg 10 (5)	Last entry	6 years	Destroy	To assist in defending any legal claims	
HS1.3	Air monitoring of asbestos record where exposure is such that a health record is required to be kept under Regulation 22 of The Control of Asbestos Regulations 2012	Requirement under The Control of Asbestos Regulations 2012 Reg 19 (3)	Electronic/hard copy	Corporate HSE; Local H&S teams	40 years where exposure is such that a health record is required to be kept under Regulation The Control of Asbestos Regulations 2012 Reg 19(4)(a) and 22	Last entry	41 years	Destroy	To assist in defending any legal claims	Individual employee health records are held by Occupational Health: see Employment and Pensions records disposal schedule
HS1.4	Air monitoring of asbestos in all cases where a health record is <i>not</i> required to be kept under Regulation 22 of The Control of Asbestos Regulations 2012	Requirement under The Control of Asbestos Regulations 2012 Reg 19 (3)	Electronic/hard copy	Corporate HSE; Local H&S teams	5 years The Control of Asbestos Regulations 2012 Reg 19(4)(b)	Last entry	6 years	Destroy	To assist in defending any legal claims	
HS1.5	Compressed air monitoring record (monitoring employee's exposure to compressed air including decompression details)	Requirement under The Work in Compressed Air Regulations 1996 Reg 11	Electronic/hard copy	Corporate HSE; Local H&S teams	At least 40 years from date of last entry The Work in Compressed Air Regulations 1996 Reg 11	Last entry	41 years	Destroy	To assist in defending any legal claims	
HS1.6	List of employees exposed to group 3 and 4 biological agents	Requirement under The Control of Substances Hazardous to Health Regulations 2002 Reg 7(10)	Electronic/hard copy	Corporate HSE; Local H&S teams	40 years The Control of Substances Hazardous to Health Regulations 2002 Schedule 3 para 4	Last entry	41 years	Destroy	To assist in defending any legal claims	

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HS1.7	Record of specialist training arranged for employees who may be exposed to hazardous substances	Requirement under The Control of Substances Hazardous to Health Regulations 2002 Reg 12	Electronic/hard copy	Corporate HSE; Local H&S teams	-	Last entry	41 years	Destroy	To tie in with retention of other records relating to monitoring of or exposure to hazardous substances and to assist in defending any legal claims	
HS2. Safety monitoring										
HS2.1	Record of deaths, injuries at work or disease as required by Regs 4-10 of The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013	Requirement under The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12	Electronic EIRF	Corporate HSE; Local H&S teams	At least 3 years from creation date The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12(2)	Last action	12 years	Destroy	To assist in defending any legal claims where knowledge of injury is not immediate	
HS2.2	Record of deaths, injuries at work or disease as required by Regs 4-10 of The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 *	Requirement under The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12	Electronic LUSEA, CuPID	Corporate HSE; Local H&S teams	At least 3 years from creation date The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12(2)	Last action	30 years	Destroy	To support trend analysis	* The data held in LUSEA and CuPID will be anonymised before the end of the 30 year retention period. The period before anonymisation is currently under discussion and will be noted in an updated version of this schedule.

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

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HS2.3	Accident books and forms	Requirement under The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12	Electronic/hard copy	Corporate HSE; Local H&S teams	At least 3 years from creation date The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12(2) Limitation period for personal injury or negligence damages claims is 3 years from date of incident, knowledge of injury or death Limitation Act 1980 s.11	Last entry	4 years	Destroy	To assist in defending any legal claims where knowledge of injury is not immediate	
HS2.4	Accident reports	Requirement under The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12	Electronic EIRF	Corporate HSE; Local H&S teams	At least 3 years from creation date The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12(2) Limitation period for personal injury or negligence damages claims is 3 years from date of incident, knowledge of injury or death Limitation Act 1980 s.11	Last action	12 years	Destroy	To assist in defending any legal claims where knowledge of injury is not immediate	

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HS2.5	Accident reports *	Requirement under The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12	Electronic LUSEA, CuPID			Last action	30 years	Destroy	To support trend analysis	* The data held in LUSEA and CuPID will be anonymised before the end of the 30 year retention period. The period before anonymisation is currently under discussion and will be noted in an updated version of this schedule.
HS2.6	Asbestos-related incident reports	Requirement under The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12	Electronic EIRF	Corporate HSE; Local H&S teams	40 years where exposure is such that a health record is required to be kept (*); otherwise 5 years Control of Asbestos at Work Regulations 2002 Reg 18 (by reason of saving provisions in Reg 33 The Control of Asbestos Regulations 2012)	Last action	12 years	Destroy	To assist in defending any legal claims where knowledge of injury is not immediate	Where a record on an individual is required to be kept, relevant documentation will be passed to Occupational Health which will retain for the requisite period (41 years)
HS2.7	Asbestos-related incident reports *	Requirement under The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12	Electronic LUSEA, CuPID			Last action	30 years	Destroy	To support trend analysis	* The data held in LUSEA and CuPID will be anonymised before the end of the 30 year retention period. The period before anonymisation is currently under discussion and will be noted in an updated version of this schedule.

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HS2.8	Record of examination and testing of hazard controls	Requirement under The Control of Substances Hazardous to Health Regulations 2002 Reg 9 (4)	Electronic/hard copy	Corporate HSE; Local H&S teams	5 years from creation date The Control of Substances Hazardous to Health Regulations 2002 Reg 9 (4) Limitation period for personal injury or negligence damages claims is 3 years from date of incident, knowledge of injury or death Limitation Act 1980 s.11	Last entry	6 years	Destroy	To assist in defending any legal claims where knowledge of injury is not immediate	
HS2.9	Fire risk assessment	Requirement under The Regulatory Reform (Fire Safety) Order 2005 Reg 9	Electronic/hard copy	Corporate HSE; Local H&S teams	-	Completion of further assessment which renders the previous one obsolete	7 years	Destroy	To assist in defending any legal claims	
HS2.10	Records of any significant findings of any risk assessment carried out and any group of employees identified by it as being especially at risk	Requirement under The Management of Health and Safety at Work Regulations 1999 Reg 3 (6)	Electronic/hard copy	Corporate HSE; Local H&S teams	-	Completion of further assessment which renders the previous one obsolete	7 years	Destroy	To assist in defending any legal claims	
HS2.11	Record of planned general inspections	Recording results of the programme of planned inspections	Electronic	Local H&S teams	-	Completion of inspection (including actions taken)	3 years	Destroy	To assist in defending any legal claims	
HS2.12	Formal incident investigation report and supporting documentation (including related correspondence)	Requirement under TfL's criteria for commissioning a formal investigation (R0492)	Electronic	Corporate HSE	-	Approval of report	Retain permanently in TfL Corporate Archives Destroy local versions as convenient	Transfer to TfL Corporate Archives	Historical/evidential value	

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HS2.13	Incident management record	Recording details of incidents and incident management actions	Electronic *	LUCC; CentreComm	-	Last action	10 years	Destroy	To assist incident investigations	* Data is currently sitting in NIMROD and CIRS, but will be migrated to MICCS
HS2.14	Senior Manager HSE tour reports (F0027)	Recording results of Senior Manager HSE tours	Electronic	Local H&S teams	-	Completion of tour (including any actions taken)	3 years	Destroy	To assist in defending any legal claims	
HS3. Hazardous waste disposal										
HS3.1	Records of tipped (discharged) hazardous waste under Reg 47 of The Hazardous Waste (England and Wales) Regulations 2005	Requirement under The Hazardous Waste (England and Wales) Regulations 2005 Reg 47	Electronic/hard copy	Facilities Operations (Commercial)	3 years after deposit of waste or until permit surrendered The Hazardous Waste (England and Wales) Regulations 2005 Reg 47 (5)	Last action	4 years	Destroy	To assist in defending any legal claims	Records made under this regulation must be kept in an onsite register
HS3.2	Records of disposal or recovery of hazardous waste by other means under Reg 48 of The Hazardous Waste (England and Wales) Regulations 2005	Requirement under The Hazardous Waste (England and Wales) Regulations 2005 Reg 48	Electronic/hard copy	Facilities Operations (Commercial)	Where the hazardous waste is fully recovered, or remains at a transfer station, as the case may be, until it leaves the site and for 3 years thereafter The Hazardous Waste (England and Wales) Regulations 2005 Reg 48 (6)	Last action	4 years	Destroy	To assist in defending any legal claims	Records made under this regulation must be kept in an onsite register
HS3.3	Producers', holders' and consignors' records under Reg 49 of The Hazardous Waste (England and Wales) Regulations 2005	Requirement under The Hazardous Waste (England and Wales) Regulations 2005 Reg 49	Electronic/hard copy	Facilities Operations (Commercial)	At least 3 years after the date on which the waste is transferred to another person The Hazardous Waste (England and Wales) Regulations 2005 Reg 49 (3)	Last action	4 years	Destroy	To assist in defending any legal claims	Records made under this regulation must be kept in a register

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HS3.4	Carrier's records under Reg 50 of The Hazardous Waste (England and Wales) Regulations 2005	Requirement under The Hazardous Waste (England and Wales) Regulations 2005 Reg 50	Electronic/hard copy	Facilities Operations (Commercial)	At least twelve months from the date of delivery of the waste to its destination The Hazardous Waste (England and Wales) Regulations 2005 Reg 50 (2)	Last action	2 years	Destroy	To assist in defending any legal claims	Records made under this regulation must be kept in a register.
HS3.5	Records relating to the Consignee's return to the producer, holder or consignor under Reg 54 of The Hazardous Waste (England and Wales) Regulations 2005	Requirement under The Hazardous Waste (England and Wales) Regulations 2005 Reg 54	Electronic/hard copy	Facilities Operations (Commercial)	-	Last action	4 years	Destroy	To assist in defending any legal claims	
HS4. Health and safety procedures										
HS4.1	Transport safety policy statement	Requirement under The Railways and Other Guided Transport Systems (Safety) Regulations 2006 Schedule 1 s.2	Electronic Source; shared drive?	Corporate HSE	-	Date of creation	Retain one copy of each approved version of the statement permanently in TfL Corporate Archives Destroy local versions as convenient	Transfer to TfL Corporate Archives	Historical/evidential value	
HS4.2	Minutes of consultations with safety representatives and committees	Requirement under The Health & Safety at Work Act 1974 s2 (7) if requested by safety representatives	Electronic/hard copy	Corporate HSE	-	Last action	7 years	Destroy	Recommended by ICSA	
HS4.3	Health and safety at work procedures	Developing procedures	Electronic Source; shared drive	Corporate HSE	-	As superseded	7 years	Destroy	Recommended by ICSA	

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HS4.4	Procedures for assessing health, safety and environmental risks to employees eg DSE assessments, first aid procedures, driving standards	Developing procedures	Electronic Source; shared drive	Corporate HSE	-	As superseded	7 years	Destroy	Recommended by ICSA	
HS4.5	Reviews of health, safety and environmental management systems	Developing procedures	Electronic Source; shared drive	Corporate HSE	-	As superseded	7 years	Destroy	To tie in with disposal of procedures documentation	
HS4.6	Health, Safety & Environmental Management system assurance	Developing procedures	Electronic Source; shared drive	Corporate HSE	-	As superseded	7 years	Destroy	To tie in with disposal of procedures documentation	
HS4.7	Group reviews of major incident investigations	Developing procedures	Electronic Source; shared drive	Corporate HSE	-	As superseded	7 years	Destroy	To tie in with disposal of procedures documentation	
HS4.8	Annual Health and Safety Report	Reporting	Electronic Source; shared drive	Corporate HSE	-	Date of creation	Retain one copy of each report permanently in TfL Corporate Archives Destroy local versions as convenient	Transfer to TfL Corporate Archives	Historical/evidential value	
HS4.9	Register of HSE statutory obligations	Statutory compliance	Electronic	Corporate HSE	-	As superseded	-	Keep register updated		
HS5. Transport safety monitoring										
HS5.1	Examination record of vehicles or infrastructure prior to its being placed in service and of any remedial action required	Requirement under The Railways and Other Guided Transport Systems (Safety) Regulations 2006 Schedule 4 s.4	Electronic/hard copy	DLR; LU SQE	Lifetime of asset + 12 years Limitation Act 1980 s.8	Asset sold or transferred	13 years	Destroy	To assist in defending any legal claims	

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HS5.2	Transport safety certificate and authorisation (including Transport Risk Assessment)	Requirement under The Railways and Other Guided Transport Systems (Safety) Regulations 2006 s.7-11	Electronic/hard copy	DLR; LU SQE	While current The Railways and Other Guided Transport Systems (Safety) Regulations 2006 s.21 (5)	Date of creation	10 years	Destroy	To assist in defending any legal claims and to span two ORR review cycles	
HS5.3	Annual transport safety report	Requirement under The Railways and Other Guided Transport Systems (Safety) Regulations 2006 s.20	Electronic/hard copy	DLR; London Overground; LU SQE	5 years from creation date The Railways and Other Guided Transport Systems (Safety) Regulations 2006 s.21 (6)	Last action	10 years	Destroy	To assist in defending any legal claims and kept in line with retention of HS5.2	
HS5.4	Internal safety audit	Requirement under The Railways and Other Guided Transport Systems (Safety) Regulations 2006 s.21	Electronic/hard copy	DLR; LU SQE	5 years from creation date The Railways and Other Guided Transport Systems (Safety) Regulations 2006 s.21 (6)	Last action	6 years	Destroy	To assist in defending any legal claims	

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