

S24 – Opening Statement

Record Keeping

Having a good process for holding and storing health and safety documentation is not only good practice but in some instances is a legal requirement.

When a government inspector or an internal/third party auditor arrives on site it is beneficial to have documentation held in a structured format.

This procedure gives guidance on a good system for record keeping. It indicates what records need to be held and suggests a period of retention.



S24 – Record Keeping

What is this?

This is a written procedure that outlines what health and safety records need to be kept and the period of retention that is appropriate.

The person responsible for implementing this procedure is:

Why have a procedure for record keeping?

It is good practice to have an effective method of record keeping on-site. Not only does it assist with successful health and safety management, it is also useful when undertaking audits both internally and externally and when external organisations such as the HSE visit the site.

There are two main objectives of this procedure:

- To formalise how documents are held on a site, and
- To show the retention period for each record.

Formalising how documents are held

There should be one area in which records are located; this will usually be in the responsible manager's office and it could be a filing cabinet. It is suggested that a suspension file is utilised for each separate topic/heading. Within the suspension file, the records should either be present or there should be a clear indication of where the records can be found.

Note: It is at the discretion of the responsible manager to decide if plant inspection records are retained within his office or within the workshop environment.

Retention periods

| Ref | Document title | Period of retention |
|---|-------------------------------|---------------------|
| Access and egress | Plant access survey | Current |
| Accidents, incidents and near hit reporting | Accident investigation report | Five years |
| | Incident inquiry report | Five years |
| | HSE RIDDOR reports | Five years |
| | Near hit reports | Three years |
| Alcohol and drugs | Alcohol and drugs policy | Current |
| Asbestos | Asbestos risk assessment | Current |
| Auditing | Site audit reports | Three years |



| | | |
|--|--|---------------------------|
| Confined spaces | | |
| | Confined space checklist | Current |
| Control and management of contractors | | |
| | Contractor pre-induction questionnaire | Three years |
| | Contractor health and safety induction | Three years |
| | Contractor on-site checklist | Three years |
| | Contractor low risk permit | Three years |
| | CDM notification | Current |
| | Pre-construction plan | Current |
| | Health and safety file | For the life of the plant |
| COSHH | | |
| | COSHH: employee/substance matrix | Current |
| | Site specific COSHH assessment | Current |
| | Personal dust monitoring results | 20 years |
| | Local exhaust ventilation examination and test records | Three years |
| Dangerous substances | | |
| | Dangerous substances HSE site notification | Current |
| Display screen equipment (DSE) | | |
| | DSE assessment | Three years |
| Duties, responsibilities and structure | | |
| | Site health and safety organisation and responsibility structure | Current |
| | Managing director appointment | Current |
| | Responsible director appointment | Current |
| | Senior manager appointment | Current |
| | Responsible manager appointment | Current |
| | Relief person in charge appointment | Current |
| | Employee appointment/authorisation | Current |
| Electricity | | |
| | Electrical maintenance and test reports | Three years |
| Emergency procedures | | |
| | Emergency preparedness checklist and plan | Current |
| Explosives | | |
| | Appointment of the explosives supervisor | Current |
| | Appointment of the shotfirer | Current |
| | Appointment of the trainee shotfirer | Current |
| | Appointment of the explosives storekeeper | Current |
| | Authorisation to handle explosives | Current |
| | Appointment of sentries | Current |
| | Blast specification summary sheet | One year |
| | Blast specification loading diagram | One year |
| | Blast specification shothole layout | One year |



| | |
|---|--------------------------|
| Driller's hole layout and log sheet | One year |
| Quarry face profile | One year |
| Record of explosives used | Five years |
| Manager's blasting operation checklist | One year |
| Explosives store licence | Current |
| Licence to acquire and keep explosives | Current |
| Recipient competent authority transfer document | Current |
| Anfo mixing licence | Current |
| Fire safety | |
| Fire safety risk assessment | Current |
| First aid | |
| List of first aiders | Current |
| Geotechnical | |
| Commencement of a notifiable excavation or tip | Five years |
| Solid tip and earthwork appraisal form | Five years |
| Excavation appraisal form | Five years |
| Lagoon and open bodies of water appraisal form | Five years |
| Repeat appraisal form | Five years |
| Solid tip and earthwork inspection form | Three years |
| Excavation inspection form | Three years |
| Lagoon and open bodies of water inspection form | Three years |
| Health screening and management referral | |
| Pre-employment health questionnaire | 20 years |
| Pre-employment health assessment | 20 years |
| Consent form: Access to Medical Reports Act 1988 | 40 years |
| Health screening records | 40 years |
| Housekeeping | |
| Housekeeping checklist | Current |
| Induction and training | |
| Health and safety induction form | 20 years |
| Training matrix and record | 20 years |
| Isolation and lock off | |
| Isolation and lock off policy | Current |
| Legislation | |
| Safety and health legislation reference documents | Current |
| Lifting equipment | |
| Schedule of lifting equipment | Current |
| Test certificate of lifting equipment | For the life of the item |
| Inspection of lifting equipment | Three years |



| | | |
|---|--|---------------------------|
| Legionella | | |
| | Legionella risk assessment | Current |
| Leptospirosis | | |
| | Leptospirosis risk assessment | Current |
| Lone working | | |
| | Lone working risk assessment | Current |
| Maintenance and inspection of plant and equipment | | |
| | Schedule of maintenance and inspection | Current |
| | Plant maintenance records | For the life of the plant |
| | Generic inspection checklist: Processing plant | Three years |
| | Generic inspection checklist: Coating plant | Three years |
| | Generic inspection checklist: Wharves | Three years |
| | Generic inspection checklist: Mobile screen | Three years |
| | Generic inspection checklist: Front end loader | Three years |
| | Generic inspection checklist: Dumper | Three years |
| | Generic inspection checklist: Excavator | Three years |
| | Generic inspection checklist: Hydraulic breaker | Three years |
| | Generic inspection checklist: Ancillary vehicles | Three years |
| | Generic inspection checklist: Drill rig | Three years |
| | Generic inspection checklist: Fork truck | Three years |
| Management review | | |
| | Activity planner | Current |
| | Monthly review checklist | Three years |
| | Management action plan | Current |
| Manual handling | | |
| | Manual handling risk assessment | Three years |
| Noise | | |
| | Site specific noise risk assessment | Current |
| | Personal noise monitoring results | 20 years |
| Opening and closing a site | | |
| | Generic inspection checklist: Closing a site | Five years |
| | Generic inspection checklist: Closed site inspection | Five years |
| | HSE letter of notification to start or stop a quarry | |
| Permit to work | | |
| | Permit to work form | Three years |
| | Permit to work register | Current |
| Personal protective equipment (PPE) | | |
| | PPE register | 20 years |
| Pressure systems | | |
| | Schedule of pressure systems | Three years |
| | A scheme of maintenance and inspection | Current |
| | Maintenance and inspection reports | Life of the equipment |



| | | |
|---|--|--------------------------------|
| Radiation | Registration and authorisation for the keeping of radioactive substances | Current |
| Risk assessment leading to safe systems of work | Task identification register | Current |
| | Risk assessment form | Three years |
| | Safe system of work | Three years |
| | Employee risk assessment | Three years |
| Site hazard plans | Site hazard plan | Current |
| Smoke free | Smoke free policy | Current |
| Stress | Stress policy | Current |
| Traffic management | Site specific traffic management plan | Current |
| Vibration | Personal vibration monitoring results | 20 years |
| Visitors | Visitor induction record | Three years |
| Welfare facilities | Office inspection form | Three years |
| Work Related Upper Limb Disorders (WRULD) | WRULD risk assessment | Current |
| Worker participation | Safety committee minutes | Five years |
| Working at height | Ladder inspection form | Three years |
| Working near open bodies of water and lagoons | An appropriate risk assessment | Current |
| Workplace rules | Employee workplace rules | Keep one copy of every version |
| | Contractor rules | Keep one copy of every version |
| | Visitor rules | Keep one copy of every version |
| | Haulier rules | Keep one copy of every version |
| | Excavation and tip rules | Keep one copy of every version |
| | Shotfiring rules | Keep one copy of every version |
| | Mobile plant rules | Keep one copy of every version |
| Workshops | Generic inspection: workshops | Three years |

