

BP-039 (version 7, issued 02 June 2011) SEPA RETENTION SCHEDULE (in progress)

Fileplan Level 1	Fileplan Level 2	Record Type	(Recommendation)	Person Responsible	Notes	Statutory Authority (Recommended Reason)	Source	Fileplan v0.6 May 2011
Managing the Organisation's Resources	Health & Safety	Accident book (Form BI 610)	3 years		After last entry	Social Security (Claims and payments) Rees 1979	IPD Info Note 6	Noted on Heilan (BP039)
Does not appear on fileplan	Health & Safety					Social Security Administration Act 1992	PRO012	Not on Heilan
Does not appear on fileplan	Health & Safety						PRO H&S Retention Schedule	Not on Heilan
Managing the Organisation's Resources	Human Resources	Application forms and interview notes	1 year		(Limitation)		IPD Info Note 6	Noted on Heilan (BP039)
Managing the Organisation's Resources	Health & Safety	Accidents and first aid records	3 years		(SEPA policy??)		PRO012	Not on Heilan
Managing the Organisation's Resources	Health & Safety	Assessments under Health & Safety regs	(Demanded)				IPD Info Note 6	Noted on Heilan (BP039)
Does not appear on fileplan	Health & Safety	Records of conversations with safety representatives and committees					IPD Info Note 6	Noted on Heilan
Managing the Organisation's Resources	Treasury Management	Banking records	6 years				SEPA EA Retention periods for Finance	Noted on Heilan (BP039)
Managing the Organisation's Resources	Facilities Management	CO2 V Taps						Noted on Heilan (BP039)
Corporate Governance	Corporate Governance	Contracts general	6 years				SEPA EA Retention periods for Finance	Noted on Heilan (BP039)
Corporate Governance	Corporate Governance	Contracts under seal	12 years				SEPA EA Retention periods for Finance	Noted on Heilan (BP039)
Managing the Organisation's Resources	Financial Accounting	Contracts records	6 years				SEPA EA Retention periods for Finance	Noted on Heilan
Managing the Organisation's Resources	HR	Disciplinary records	3 years		(SEPA policy??)		PRO012	Noted on Heilan
Managing the Organisation's Resources	Health & Safety	Health surveillance medical records of employees who are or liable to be exposed to a substance hazardous to health	3 years			Ionising Radiations Rees 1985	PRO H&S Retention Schedule	Noted on Heilan
Managing the Organisation's Resources	Financial Accounting	Financial statements	3 years				SEPA EA Retention periods for Finance	Noted on Heilan
Managing the Organisation's Resources	Financial Accounting	Schemes of benefits						Noted on Heilan
Managing the Organisation's Resources	Asset Management	Fixed asset registers	(Demanded)				SEPA EA Retention periods for Finance	Noted on Heilan
Managing the Organisation's Resources	Financial Accounting	General accounting records	6 years				SEPA EA Retention periods for Finance	Noted on Heilan
Regulation the Environment	Licensed sites (by Licence number)	General correspondence files	6 years		(After closure)		SE RM Manual	Noted on Heilan
Managing the Organisation's Resources	HR	Health surveillance medical records of employees who are or liable to be exposed to a substance hazardous to health	3 years		From date of last incident	COSHH Rees 1994, Rea 11	IPD Info Note 6 / PD0019 / PRO H&S Retention	Noted on Heilan (BP039)
Managing the Organisation's Resources	Financial Accounting	Income records	6 years				SEPA EA Retention periods for Finance	Noted on Heilan
Managing the Organisation's Resources	Statutory Reporting	Income tax and NI returns	3 years		After end of financial year to which they relate	Income Tax (Employments) Rees 1993, Rea 56(12)	IPD Info Note 6	Noted on Heilan
Does not appear on fileplan	Statutory Reporting	Income tax records				(Limitation)	PRO012	Noted on Heilan
Does not appear on fileplan	Statutory Reporting	Correspondence with Inland Revenue						Noted on Heilan
Managing the Organisation's Resources	Health & Safety	Internal Revenue approvals	(Demanded)				IPD Info Note 6	Noted on Heilan
Managing the Organisation's Resources	Health & Safety	Medical records and details of biological tests under Control of Lead at Work Rees 1980	3 years			Control of Lead at Work Rees 1980	IPD Info Note 6	Noted on Heilan
Managing the Organisation's Resources	Health & Safety	Medical records under Control of Asbestos at Work Rees 1987	40 years			Control of Asbestos at Work Rees 1987	IPD Info Note 6	Noted on Heilan
Does not appear on fileplan	Health & Safety	Medical records under Control of Asbestos at Work Rees 1987	40 years			(Business practice)	IPD Info Note 6	Noted on Heilan
Managing the Organisation's Resources	Health & Safety	Medical Records under the Ionising Radiations Rees 1985	30 years				PRO012	Noted on Heilan
Does not appear on fileplan	Health & Safety	Medical Records under the Ionising Radiations Rees 1985	30 years				IPD Info Note 6 / PRO H&S Retention Schedule	Noted on Heilan
Managing the Organisation's Resources	Legal	Memoranda of Understanding						Noted on Heilan
Managing the Organisation's Resources	Financial Management	Human resource details	6 years		(After transfer or value label)		IPD Info Note 6	Noted on Heilan
Managing the Organisation's Resources	Human Resources	Monitoring general exposure at the workplace under COSHH Rees	4 years			COSHH Rees 1994, Rea 10	PRO H&S Retention Schedule	Noted on Heilan
Managing the Organisation's Resources	Human Resources	Monitoring general exposure of identifiable employee at the workplace under COSHH Rees	40 years			COSHH Rees 1994, Rea 10	IPD Info Note 6	Noted on Heilan
Managing the Organisation's Resources	Human Resources	Occupational health records	During employment			Health and Safety at Work Rees	PRO012	Noted on Heilan
Managing the Organisation's Resources	Financial Accounting	Pension scheme investment policies	12 years		(From ending of any benefit payable under the policy)		IPD Info Note 6	Noted on Heilan
Managing the Organisation's Resources	Human Resources	Personnel files and training records	10 years		(After employment ceases otherwise)		IPD Info Note 6 / PD0012	Noted on Heilan
Managing the Organisation's Resources	Financial Management	Petty cash	6 years				IPD Info Note 6	Noted on Heilan
Managing the Organisation's Resources	Legal / Corporate Governance	Policy files on main work of organisation	6 years		(Then to be reviewed)		SE RM Manual	Noted on Heilan
Managing the Organisation's Resources	Human Resources	Promotion contracts	12 years				IPD Info Note 6	Noted on Heilan
Managing the Organisation's Resources	Remuneration / Financial Accounting	Records of pensions	(After benefit ceases)				IPD Info Note 6	Noted on Heilan
Managing the Organisation's Resources	Remuneration / Financial Accounting	Records of senior executives	(Demanded for historical purposes)				IPD Info Note 6	Noted on Heilan
Managing the Organisation's Resources	Human Resources	Records of tests and examinations of control systems and protective equipment	3 years		From date on which tests were carried out	COSHH Rees 1994, Rea 9	IPD Info Note 6 / PRO H&S Retention Schedule	Noted on Heilan
Managing the Organisation's Resources	Remuneration / Financial Accounting	Records relating to events notified under the Retirement Benefits Schemes (Information Powers) Rees 1995	6 years		From the end of the scheme year in which the event	Retirement Benefits Schemes (Information Powers) Rees 1995 Rea 15 (1), (3)	IPD Info Note 6	Noted on Heilan
Managing the Organisation's Resources	Remuneration / Financial Accounting	Records concerning decisions to allow retirement due to incapacity						Noted on Heilan
Managing the Organisation's Resources	Remuneration / Financial Accounting	Records concerning accounts and associated documents			the date upon which accounts/reports were			Noted on Heilan
Managing the Organisation's Resources	Remuneration / Financial Accounting	Redundancy details / Calculation of payments / Refunds and notification to Secretary of State	12 years		(From the date of redundancy)	(Limitation Act 1980 / litigation)	IPD Info Note 6 / PD0012	Noted on Heilan
Managing the Organisation's Resources	Human Resources	Reports of incidents	(Demanded)				SEPA EA Retention periods for Finance	Noted on Heilan
Managing the Organisation's Resources	Human Resources	Reportable injuries, diseases and dangerous occurrences	3 years			RIDDOR Rees 1985, Rea 7	PRO H&S Retention Schedule	Noted on Heilan
Does not appear on fileplan	Human Resources	Reports and audit material	6 years				SEPA EA Retention periods for Finance	?
Corporate Governance	Legal	Service contracts for directors	3 years				IPD Info Note 6	Noted on Heilan
Corporate Governance	Legal		6 years			Private companies	Companies Act 1985, S. 221	Noted on Heilan
Managing the Organisation's Resources	Payroll/Financial Accounting	Statutory maternity pay records, calculations, certificates (Mat B1s) or other medical evidence	3 years		After the end of the financial year to which they relate	Statutory Maternity Pay (General) Rees 1986, Rea 26	IPD Info Note 6 / PD0012	Noted on Heilan
Managing the Organisation's Resources	Payroll/Financial Accounting	Statutory sick pay records, calculations, certificates, self-certificates	3 years		After the end of the financial year to which they relate	Statutory Sick Pay (General) Rees 1982, Rea 13	IPD Info Note 6 / PD0012	Noted on Heilan
Does not appear on fileplan	Payroll/Financial Accounting	Time cards	2 years		(After audit)		IPD Info Note 6	Noted on Heilan
Does not appear on fileplan	Payroll/Financial Accounting	Trustee/Trust Agreement	10 years				IPD Info Note 6	?
Does not appear on fileplan	Payroll/Financial Accounting	Trust deeds and rules	(Demanded)		(After ceased to be effective)		IPD Info Note 6	?
Does not appear on fileplan	Payroll/Financial Accounting	Trustees' minute books	(Demanded)				IPD Info Note 6	Noted on Heilan
Managing the Organisation's Resources	Payroll/Financial Accounting	Wages/contracts records	3 years			Taxes Management Act 1970	IPD Info Note 6	Noted on Heilan
Managing the Organisation's Resources	Payroll/Financial Accounting	Overtime, bonuses, expenses	6 years				SEPA EA Retention periods for Finance / PD0012	Noted on Heilan
Does not appear on fileplan	Payroll/Financial Accounting	Works council records	(Demanded)				IPD Info Note 6	?
Regulation the Environment	License Application	Environmental Records						Noted on Heilan
Regulation the Environment	License Application	Paragraph 17 exemptions	Only whilst exemption applies		Quality Manager for SW	Waste Management Licensing Regulations 1994, SI 1996 (with various amendments)		Noted on Heilan
Does not appear on fileplan	IEP	Radioactive Substances Authorisations			Quality Manager	Radioactive Substances Act 1993 (and associated Examination Order/regs amended)		?
Does not appear on fileplan	IEP	Hazardous Waste Consignment Notes (SEPA's own)	3 years		Consignee department	SEPA is itself the regulator/HPA perform inspections		?
Does not appear on fileplan	IEP	Waste Transfer Notes (SEPA's own)	2 years		Consignee department	SEPA is itself the regulator		?
Managing the Organisation's Resources	Information Management	Document Control	6 years		Quality Manager	Environmental Protection (Duty of Care) Regulations 1991, SI 2839 as amended		Noted on Heilan
Managing the Organisation's Resources	Information Management	Quality System Document Register	6 years		Quality Manager			Noted on Heilan
Managing the Organisation's Resources	Information Management	Document History Record	6 years		Quality Manager			Noted on Heilan
Managing the Organisation's Resources	Information Management	Distribution Records of Controlled Documents from External Sources (DB Testworks)	Indefinite		Information Centre Officer			Noted on Heilan
Does not appear on fileplan	Quality - quality management	Control of Non-Conformances	6 years		Quality Manager			?
Does not appear on fileplan	Quality - quality management	Non-Conformance Register	6 years		Laboratory Quality Manager			?
Does not appear on fileplan	Quality - quality management	Non-Conformance Register	6 years		Laboratory Quality Manager			?
Does not appear on fileplan	Quality - quality management	Non-Conformance Register	6 years		Quality Manager			?
Does not appear on fileplan	Quality - quality management	Corrective/Preventative Action Request	6 years		Quality Manager			?
Does not appear on fileplan	Quality - quality management	Corrective/Preventative Action Request	6 years		Quality Manager			?
Does not appear on fileplan	Quality - quality management	Corrective/Preventative Action Request	6 years		Quality Manager			?
Reporting on the Environment	Reporting on the Environment	Training	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Reporting on the Environment	General Training Record	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Reporting on the Environment	Ecology Training Record	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Reporting on the Environment	Chemistry Training Record	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Reporting on the Environment	Internal Quality Audits	6 years		Laboratory Quality Manager			Noted on Heilan
Does not appear on fileplan	Quality - quality management	Audit Calendar	6 years		Quality Manager			?
Does not appear on fileplan	Quality - quality management	Audit Status	6 years		Quality Manager			?
Does not appear on fileplan	Quality - quality management	Checklist for Internal Quality Audit	6 years		Quality Manager			?
Does not appear on fileplan	Quality - quality management	Internal Audit Report	6 years		Quality Manager			?
Reporting on the Environment	Reporting on the Environment	Maintenance of Equipment						Noted on Heilan
Reporting on the Environment	Reporting on the Environment	Equipment Maintenance Schedules	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Reporting on the Environment	Equipment Maintenance Logs	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Reporting on the Environment	Equipment Inventories	live update		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Reporting on the Environment	Equipment Details	held for 6 years after disposal		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Reporting on the Environment	Calibration of Measuring and Testing Equipment						Noted on Heilan
Reporting on the Environment	Reporting on the Environment	Log of Equipment Requiring Calibration	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Reporting on the Environment	Internal Calibration Record	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Reporting on the Environment	Internal Check Report	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Reporting on the Environment	Calibration Details of Equipment	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Reporting on the Environment	Laboratory Equipment Calibration Certificate	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Reporting on the Environment	Customer Requests	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Reporting on the Environment	Work Request Forms (for UKAS)	6 years		Accreditation Area Lab			Noted on Heilan
Reporting on the Environment	Reporting on the Environment	Work Request Form (other)	3 years		Accreditation Section			?
Reporting on the Environment	Reporting on the Environment	Statutory and Non-Statutory Consultations			Planning Liaison Officers and Local Ops Team Leaders			?
Regulation the Environment	Licensed sites (by Licence Number)	Public Register	As per legislation		Registers			Noted on Heilan
Regulation the Environment	Licensed sites (by Licence Number)	Prevention Licences Working Files			Team Leaders Specialists			?
Does not appear on fileplan	Various	Hazardous Waste Pre-notification and Consignment Notes (Customers)	Indefinite		Special Waste Registrar			?
Regulation the Environment	Licensed sites (by Licence Number)	Register of Environmental Licences Working Files	Live update ongoing		Special Waste Registrar			Noted on Heilan
Regulation the Environment	Licensed sites (by Licence Number)	Register of Regulatory Files (ex COPA)	Live update ongoing		Registrar			Noted on Heilan
Managing the Organisation's Resources	Information Management	Register of Emergency Plans	Live update ongoing		Information Centre			Noted on Heilan
Reporting on the Environment	Laboratory Processes	Sample Handling						Noted on Heilan
Reporting on the Environment	Laboratory Processes	Routine River Sampling/Worksheet	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Laboratory Processes	Non-Routine Sample Sheet	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Laboratory Processes	Microbiology External Worksheet	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Laboratory Processes	General Sampling Worksheet	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Laboratory Processes	Water Sampling Worksheet	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Laboratory Processes	Microbiology Sampling Worksheet	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Laboratory Processes	Laboratory Log to Registers	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Laboratory Processes	Laboratory Worksheets	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Laboratory Processes	Laboratory Worksheets	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Laboratory Processes	Laboratory Worksheets	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Laboratory Processes	Laboratory Instrument Protocols/Charts	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Laboratory Processes	Sampling Programme Change Request Forms	6 years		Laboratory Quality Manager			Noted on Heilan
Reporting on the Environment	Laboratory Processes	Analytical Quality Control (AQC)	6 years		Laboratory Quality Manager			Noted on Heilan

Reporting on the Environment	Laboratory Processes	AQC Investigations	6 years	Laboratory Quality Manager					Noted on fileplan
Does not appear on the fileplan		Control Chart Data - Exceedences	6 years	Laboratory Quality Manager					Noted on fileplan
Reporting on the Environment	Laboratory Processes	Positive and Negative Control - Exceedences	6 years	Laboratory Quality Manager					Noted on fileplan
Reporting on the Environment	Laboratory Processes	Sinkings Recovery Checks	6 years	Laboratory Quality Manager					Noted on fileplan
Reporting on the Environment	Laboratory Processes	Control Charts & AQC Logs	6 years	Laboratory Quality Manager					Noted on fileplan
Reporting on the Environment	Laboratory Processes	Calibration, Sensitivity, Recovery & Incubate Testings Exceedences	6 years	Laboratory Quality Manager					Noted on fileplan
Reporting on the Environment	Laboratory Processes	Recipitate Testing Checks	6 years	Laboratory Quality Manager					Noted on fileplan
Reporting on the Environment	Laboratory Processes	Precision Bias and Proficiency Tests	6 years	Laboratory Quality Manager					Noted on fileplan
Reporting on the Environment	Laboratory Processes	Proficiency Test Failures	6 years	Laboratory Quality Manager					Noted on fileplan
		Complaints							
Engaging with our Customers	Engaging with our Customers	Complaints Register	6 years	Quality Manager					Noted on fileplan
Engaging with our Customers	Regulation & Environment	Complaint Report Form	6 years	Quality Manager					Noted on fileplan
Engaging with our Customers	Engaging with our Customers	Regulation & Environment							Noted on fileplan
Does not appear on fileplan	Quality - Quality Management	Corrective and Preventative Action							Noted on fileplan
Does not appear on fileplan	Quality - Quality Management	Quality Improvement Initiative	6 years	Quality Manager					
Does not appear on fileplan	Quality - Quality Management	Corrective & Preventative Action	6 years	Quality Manager					
		Procurement and Assessment of Suppliers							
Managing the Organisation's Resources	Procurement	Supplier Review Information Form	6 years	Procurement					
Managing the Organisation's Resources	Procurement	Supplier Evaluation Report	6 years	Procurement					
Managing the Organisation's Resources	Procurement	Supplier Assessment Questionnaire	6 years	Procurement					
Managing the Organisation's Resources	Procurement	Supplier Profile Report	6 years	Procurement					Noted on fileplan
Managing the Organisation's Resources	Financial Accounting	Purchase Orders, Associated Papers and Goods Received Notes (GRNs)	6 years	Divisional Finance Representatives					Noted on fileplan
Managing the Organisation's Resources	Financial Management	Party Cash Statements	1 year	Local Office Services					Noted on fileplan
		Minutes							
Does not appear on fileplan	Quality - Quality Management	Quality System Management Review	6 years	Quality Manager					
Does not appear on fileplan	Visitors	Management Team Meetings	6 years	Director					?
Does not appear on fileplan	Corporate Governance - DMTs	Licensing Team Meeting Minutes	6 years	Registrars					
		Other Registers							
Reporting on the Environment	Laboratory Processes	History/Drawing Register	6 years	Unit Head of Hydrology					Noted on fileplan
Managing the Organisation's Resources	Facilities Management	Building Drawings Register	1 year, update ongoing	Business Manager					Noted on fileplan
Engaging with our Customers	Engaging with our Customers	Planning Applications/ Permissions / Warrants and C of C.	Indefinite	Business Manager					Noted on fileplan
Managing the Organisation's Resources	Procurement	Approved Suppliers List	1 year, update ongoing	Procurement					Noted on fileplan