

The purpose of this document is to provide guidance on the retention and disposal of documents (including “personal data” under the General Data Protection Regulation 2016/679 (“GDPR”), and the Data Protection Act 2018 (subject to royal assent, the “DPA”)) (together the “Data Protection Laws”). “Documents” in this context means all documents held or controlled by us in any format or media that are located in the UK.

As a matter of law, our documents (including books, records and financial reports) must accurately reflect the underlying transactions and represent the true state of the business. They are an essential part of doing business correctly, honestly and openly and protect us, our customers and those we work with. We must ensure that the record keeping of our documents is accurate, that we store them safely and for the time periods prescribed by the law and that we do not destroy or alter any information or data that must be kept for litigation, an investigation or other legal reasons. Equally, we must not retain documentation where the limitation period has expired and there is no legal justification for retention.

The retention schedule sets out the recommended retention periods for Safety, Health and Environment records. The retention schedule is intended to enable users of this document to simply refer to the relevant type of document that they are interested in and then determine the relevant retention period from that schedule. If a document is not covered by any retention schedule, reference can be made to the items listed in the General Guidance section within the Records Management Policy in determining an appropriate retention period.

SBU/functions should refer to these retention schedules and the general guidance below in reviewing their current existing document retention and disposal practices.

The DPO within the SBU/function has the responsibility for establishing and implementing effective practices and procedures across it to give effect to this document.

Safety, Health and Environment records

Record description	Retention period	Form in which to be kept	Reason and comments
Health and safety policies, systems, procedures, standards and guidance	Permanently	Any	Evidence of compliance.
Health and safety documents and records (including incident notifications, investigation reports, Safety Alerts, training records and presentation packages, risk assessments carried out in compliance with law and complementary method statements)	Permanently	Any	Evidence of compliance with statutory provisions in UK legislation or foreign territorial legislation, where appropriate.
Incident, disease and dangerous occurrence books (aka ‘accident books’) and records (including electronic records and entries in	Permanently	Any	Evidence of compliance with the UK Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 or local regulations

Record description	Retention period	Form in which to be kept	Reason and comments
databases (such as iSMS) and spreadsheets or databases”			
Environmental records and assessments (including electronic records and entries in databases (such as Sustainability Portal, Accuvio, iSMS etc) and spreadsheets	Permanently	Any	Evidence of compliance with statutory provisions in UK legislation or foreign territorial legislation, where appropriate.
Medical and occupational health records (including any medical assessments prior to or during employment)	Permanently ¹ Note the minimum requirement in UK legislation is 40 years	Any	Evidence of compliance with statutory provisions in UK legislation or foreign territorial legislation, where appropriate. Also note that if a business closes the records have to be surrendered to the local HSE area office. (COSHH Regs, ACOP para 253)
Records and minutes of consultations with safety representatives and committees	Minimum of 10 years	Any	Evidence of compliance with Safety Representative and Safety Committees Regulations 1977 and Safety (Consultation with Employees) Regulations 1996.
Fire risk assessment	Permanently	Any	Evidence of compliance with the Regulatory Reform (Fire Safety) Order 2005.

Note: Where SHE records (including business and personal OH data) relate to an Asset or Concession Company or SPV / SPC in which Balfour Beatty invests, the terms in the above schedule should be met. Upon sale of an AssetCo or sale of the shareholding in a ConCo, or upon termination of the concession, all relevant documents should be returned to the original client or forwarded to the new business owners.

¹ **Note** that this does not mean that all records in this category can be kept permanently. In line with the Data Protection Laws, personal data should only be kept in a form which permits identification of the data subject to the extent necessary for the purpose for which it is being processed (in this case, defence of a future claim). Each SBU/Function must determine whether there is a need to keep a particular record based on the individual circumstances of each case. In practice this will involve separating medical and health records which need to be kept permanently from those which don't.