



HSE PROCEDURE

FOR

**CONTROL OF
RECORDS**

**INDUSTRIAL
SYSTEMS GROUP**

**HSE PROCEDURE
FOR
CONTROL OF RECORDS**

(HSEP: 10)



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BHARAT HEAVY ELECTRICALS LIMITED

INDUSTRIAL SYSTEMS GROUP



HSE PROCEDURE FOR CONTROL OF RECORDS

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1.0 OBJECTIVE

To ensure control of all pertinent records affecting HSEMS.

2.0 SCOPE

This procedure covers control of HSE Management System records.

This procedure refers to the records generated and maintained to provide evidence of the effective operation of HSEMSM (Health Safety Environment Management System Manual).

This procedure covers the HSE records generated, their retention period, protection, location and retrieval.

3.0 DEFINITIONS

Recordkeeping: is the making and maintaining of complete, accurate and reliable evidence of business transactions in the form of recorded information. It is a critical function that is performed through the collective action of employees and systems throughout the organization.

Record: Information created, received and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business. A record may be the final approved version of a document that captures decision-making and approval processes. Examples in context of HSE include completed risk management forms and safe work procedures (as per HIRA, Aspect/Impact), workplace inspections, manpower (number, qualification, experience) records, training records (induction, tool box talk, internal, external training), Mock Drill records, audit reports, minutes of safety meetings, medical checkup & health monitoring records, first aid, near miss, minor, major, fatal (if any) accident records, equipment maintenance records, evacuation reports, registers, emails.

PROCEDURE DESCRIPTION

It is the responsibility of the site in charge to ensure the appropriate implementation of this procedure. All departmental managers also have immediate responsibility for the management of records relating to their activities.

A **Master Records List (MRL)** is used to identify key safety and environmental records. Retention periods take into account statutory, regulatory and HSEMSM requirements (**HSEP10:F01**).

Records Register: A register of all HSE records kept by the area, indicating the type of record, where it is kept, by whom, any privacy requirements and retention and disposal arrangements as per MRL.

This procedure, applies to HSEMSM (Health Safety Environment Management System Manual) records.

Identification, protection and retrieval

The Master Records List (MRL) indicates the records being maintained by process, record type, identification, retention period and storage location. The records are protected by secure physical



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location or data back-up (soft copy). Documents can be retrieved by authorized personnel from the storage locations specified and / or from folders on the network.

Hard-copy records should be filed using a method appropriate to their type and any security arrangements that might apply. Such methods could include sequential numbering, sorting by date etc. Electronically generated records should be assigned a unique identifier (e.g. HSE 004). The order of filing should be such that retrieval of the record is easy and obvious. Any HSE record which could contain confidential information should be filed in a manner that prevents unauthorized access. Key office computers are backed up daily to tape on a local server. Remote office computers / laptops are backed-up monthly to suitable magnetic or digital media.

4.2 Storage, retention and maintenance of documents and records

The storage and maintenance of HSE records should be as outlined in the Master Records List i.e. detailing the location, responsible person etc. Local area record process must ensure that records are protected from damage or deterioration and secured to prevent loss or theft.

Records are maintained in order to demonstrate that services conform to specification and regulatory/statutory requirements.

Files and folders are maintained that contain records of the activities and HSE functions. These records can be accessed by authorized persons; however, records must not be removed from site without permission from the site in charge. All records held are documented on the MRL.

Records specified as part of a contract will be made available for inspection for a period of time as determined in the contract.

Electronic media pertaining to the HSE is stored in such a way as to prevent loss, damage or corruption. Electronic back-ups are maintained in accordance with the data back-up process. Online storage is to be used wherever possible, for ease of access while maintaining the required confidentiality and access controls.

Access and confidentiality

Any records which contain confidential information must be noted on the HSE Records Register and stored in a secure area to which only authorized persons have access. A system should be established to handle any requests for access to such records and appropriate approvals sought and received in advance. There must be a system that only authorized persons can access and/or release confidential records. The decision on confidentiality and access of HSE records to be taken in consultation with Site In-charge, Head (HSE), INDUSTRIAL SYSTEMS GROUP and ISGHQ, HSE.

Disposal of records

Hardcopy records (including signed forms) may be scanned to PDF and captured to a Record keeping system. The source hardcopy record may then be destroyed, and the scanned PDF document becomes the 'original' record. The Records and Archives Office can provide further advice on this process. On or after the retention period stated, the relevant records will be reviewed by the site in charge and Process Owner and will either remain in-situ, be archived or



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destroyed. Before the disposal of any records their continuing use for legal or system evaluation purposes must be identified.

If records are to be destroyed, they will be disposed of in a controlled manner; sensitive hard copies will be shredded and soft copies will be deleted from the system. If records are to be archived, they will be identified and stored appropriately.

Disposal of records to be done in a manner so as to have minimum impact on environment, as per **HSE Procedure for Environmental Aspects & Impacts**.

4.5 Review of records

The internal audit process is used to check that records remain legible, identifiable and retrievable.

HSE records will be reviewed either prior to or during the Management Review process to ascertain the HSE continuing suitability, adequacy and effectiveness. The appropriateness of the records maintained and their retention period may also be reviewed.

5.0 Related documents

- All controlled HSE documents.
- Master Records List. (Record)
- Register of Records (Record)
- HSE Procedure for Environmental Aspects & Impacts

Review

A review shall be carried out to ensure the content of this procedure is still applicable, current and practicable. A review should take place:

- a. Whenever the process/equipment changes
- b. At a periodic frequency (every two years)
- c. Whenever required in course of operation.

whichever is earlier

6.0 Records: Master Records List, Register of Records, All HSE records

Any proposed changes to this procedure shall be brought to the notice of Head, HSE, ISGHQ through Head, HSE, INDUSTRIAL SYSTEMS GROUP



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Master Records List (MRL) - Sample

Site					Region		
S.No	Record Name	Process	Responsibility	Record Type	Storage Location	Retention Period	Reference
1	HIRA & Aspect Impact	HSE	HSE Officer*	Hard Copy	Rack No.	Till Project Closure	HSE Procedure for OHS Hazards & Risks, & Environmental Aspects / Impacts
2	T&P details & maintenance records	HSE	HSE Officer	Hard Copy	Rack No.	Till Project Closure	Site Safety Plan
3	Induction Training & Manpower	HSE	HSE Officer	Hard Copy	Rack No.	Till Project Closure	Site Safety Plan, HSE Procedure for Training & Awareness
4	Medical Check-up & Health monitoring (Workers & BHEL Employees)	HSE	HSE Officer	Hard Copy	Rack No.	Till Project Closure	Site Safety Plan
5	Training (Induction, Toolbox Talk, Internal, External, Mock Drills etc.)	HSE	HSE Officer	Hard Copy	Rack No.	Till Project Closure	HSE Procedure for Training & Awareness, Site Safety Plan
6	Audit & Inspection (Internal, External)	HSE	HSE Officer	Hard Copy	Rack No.	Till Project Closure	HSE Procedure for Internal Audit, Site Safety Plan
7	Injury (First Aid, Near Miss, Minor, Major Fatal) Records	HSE	HSE Officer	Hard Copy	Rack No.	Till Project Closure	HSE Procedure for Incident Investigation & Reporting, Site Safety Plan
8	Evacuation Records	HSE	HSE Officer				
9	Registers	HSE	HSE Officer				
10	E-mails / Warnings	HSE	HSE Officer				
11	Other Records	HSE	HSE Officer				
Prepared By:			Approved By:			Date	
Name & Designation:				Name & Designation:			
Note: Records to be disposed of as per Clause 4.4							

*(As per assigned responsibilities. BHEL HSE Officers to collect records from Subcontractor HSE Officers. Authenticity of records to be ensured)



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HSEP:10 - Record of Revisions

Clause	Rev. No.	Brief of Revision	Authorized by	Date
	00	First Issue		



Health, Safety & Environment, INDUSTRIAL SYSTEMS GROUP Headquarters

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