

## Records Retention Schedule

**Responsibility for Policy:**

Finance Director, Deputy Chief Executive and University Secretary

**Relevant to:**

All LJMU Staff

**Approved by:**

Various during Autumn 2015

**Responsibility for Document Review:**

Manager, Secretariat.

**Date introduced:**

October 2015

**Date(s) modified:**

August 2016

**Next Review Date:**

March 2017

### RELEVANT DOCUMENTS

Data Protection Act 1998  
Freedom of Information Act 2000  
Limitation Act 1980

### RELATED POLICIES & DOCUMENTS

Records Management Policy  
Data Classification Policy  
Information Security Policy  
Freedom of Information Policy  
Research Data Management Policy



# Records Retention Schedule

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## Introduction

### *Aim*

Understanding what information to keep and disposing of information that is no longer required is an important part of effective information management. In fact disposal is something that you are required to do under legislation such as the Freedom of Information Act and the Data Protection Act.

A retention schedule documents the length of time records should be retained in order to comply with legal and regulatory requirements, balanced with the operational requirements of the University. It enables a consistent approach to the creation, maintenance and disposal of records across the whole Institution. Staff should dispose of information responsibly through a clear understanding of: the University's business functions; the value of the information to the University; legislative retention requirements; and the technology that supports the information.

The LJMU Records Management Policy describes how all staff at LJMU who create, receive and use records have responsibilities in relation to managing records. Part of that responsibility is to ensure that records are retained for a relevant length of time, i.e. only retained for as long as it is needed for business, legal or historical purposes. Retention periods are formulated based upon a number of factors: legislation; regulation; and best practice.

### ***Determining a retention period:***

Legislation relevant to the retention of records includes the following:

- [The Data Protection Act 1998](#): this regulates how the University uses and stores personal information, protects individuals against misuse of information and provides them with the right of access. It also ensures that information is not held for longer than necessary. The Data Protection Act states that:
  - Personal data shall be obtained only for one or more specified and lawful purposes, and shall not be further processed in any manner incompatible with that purpose or those purposes.
  - Personal data shall be adequate, relevant and not excessive in relation to the purpose or purposes for which they are processed.
  - Personal data shall be accurate and, where necessary, kept up to date.

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- Personal data processed for any purpose or purposes shall not be kept for longer than is necessary for that purpose or those purposes.
- [The Freedom of Information Act 2000](#): Section 46 of the Freedom of Information Act provides a Code of Practice for Records management, recognising that Freedom of Information legislation is only as good as the quality of the records and other information to which it provides access. The Code sets out the practices which the University should follow in relation to the creation, keeping, management and destruction of records. This is outlined in the University's Records Management Policy.
- [The Limitation Act 1980](#): Limitation periods are imposed by statute, primarily the Limitation Act 1980. There are different limitation periods for different types of cause of action, but in the main for the purposes of the retention schedule a six year period is given in which former staff or students may make a claim against the University. There are exemptions and advice and guidance as to when this period starts and finishes can be provided by the University's Secretariat.
- The retention of information management records should be considered in the light of both business and legislative requirements, taking into account the cost of retention and the use to which the records might be put in the future. The Schedule below shows the recommended maximum retention periods for management of records at LJMU.

### ***How to use the Records Retention Schedule:***

The schedule is split into 25 sections, each representing a different area for which records are held. Whilst some of these sections bear a resemblance to University departments, the schedule has been created to reflect the function of the records involved rather than following organisational structure. This helps to future proof the schedule, but also to create parity where different departments hold the same types of records (e.g. many areas of the University hold financial records in addition to the Finance Division).

Each section of the schedule contains a main table consisting of 6 columns:

- Ref – a unique reference code for each entry in the schedule to enable ease of reference
- Record type – a description of the record series
- Retention period – the period of time that the record should be retained before reviewed/disposal
- Guidance for retention period/legal reference – legal or best practice guidance

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- Responsibility – information on who holds these records
- Classification/Notes – further information related to the record series, this also includes the level of security applied to the record series in relation to the LJMU Data Classification Policy (see below).

The LJMU Data Classification Policy defines the high level information classification categories which should be applied to all LJMU data and information. This is part of the overall [LJMU Information Security Policy](#). The five levels of classification are public, open, confidential, strictly confidential and secret.

Retention periods apply to all records including: electronic; paper; microfiche; and digital. Retention periods apply to official and master copies of records. Duplicates and working/convenience copies should be disposed of once their reference use has ended and should not be held for longer than necessary. The Data Protection Act makes it clear that one true record should be held and the University would like to avoid duplicated and draft documents where possible to avoid inaccurate and dated information.

At the end of the retention period records should be reviewed. That review will usually highlight that the record has reached the end of its life-cycle and is ready for disposal. Guidance on disposal of records is available on the [Secretariat website](#), including an example of a record destruction template to log records destroyed in accordance with the Records Retention Schedule. Records classed as confidential should be destroyed confidentially (i.e. in a way which ensures the content cannot be retrieved, such as confidential shredding for paper records and removal from recycle bins and back-ups for electronic records).

If a review of records at the end of their retention period highlights a requirement for the records to be kept for longer, a [record review log](#) should be completed to indicate why the record is being held for longer than the prescribed retention period and when the next review date should be. Reasons for retaining a record at the end of its retention period include: it is still pertinent to a current process; and, it is an example of best practice (if it contains personal information it can be anonymised).

### ***Further information:***

A suite of guidance in relation to records management is available from the [Records Management and Policies section of the Secretariat website](#).

The following LJMU policies are related to the Records Retention Schedule

- [Records Management policy](#)

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- [Freedom of Information policy](#)
- [Data Protection policy](#)
- [Information Security policy](#)
- Data Classification policy (Appendix to the [Information Security policy](#))
- [Research Data Management policy](#)

### **Contact:**

For any queries about the LJMU Records Retention Schedule, or to discuss updating a section of the schedule please contact:

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Records Retention Schedule (Version 1.1)

**A: Programme Administration (taught programmes)**

**Approved by:** Mark Power, Registrar and Deputy Chief Executive

**Date:** 8<sup>th</sup> October 2015

The Programme Administration (taught programmes) section of the Records Retention Schedule covers various records series in relation to the administration of taught programmes. These include programme approval, review and monitoring, student surveys, assessment, exams, external examiners, and awards.

Other sections which relate to these records are [B: Programme Administration \(research programmes\)](#), [D: Student Administration and Services](#) and [F: Award Administration](#)

Abbreviations used in this section:

AQS – Academic Quality Services

SAS – Student Administration Services

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
A1	Programme Proposal Proformas	Life of Institution	Best Practice	Academic Registry	Confidential
A2	Records documenting the process of obtaining approval/validation and/or accreditation by professional, statutory and regulatory bodies.	Life of programme for final reports Background papers until completion of subsequent approval/	JISC guidance	AQS, Programme teams	Confidential

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
		accreditation/validation			
A3	Register of Collaborative Programmes	Life of Institution	Best Practice	AQS	Confidential
A4	Registration of individual students on programmes.	Termination of student relationship + 6 years	Limitation Act 1980 c.58 s.5	Academic Registry (SIS), Faculties, Schools, Programme Teams	Confidential
A5	Summaries and analyses of data on registration of students on programmes.	Current academic year + 10 years	Best Practice	WebHub - Academic Registry, Faculties, Schools, Programme Teams	Confidential
A6	Design, conduct and review of induction programmes for new students.	Completion of induction programme + 5 years	JISC guidance	Schools, Programme teams	Confidential
A7	Conduct and results of external programme reviews and audits of teaching quality and standards.	Current academic year + 5 years	JISC guidance	AQS, Programme teams	Confidential
A8	Data on, and analyses of, student numbers and other taught programme statistics.	Current academic year + 5 years	JISC guidance	WebHub – Academic Registry, Programme teams	Confidential
A9	Annual Monitoring Report for taught programmes. Conduct and results of formal independent reviews of taught programmes, and responses to results.	Current academic year + 5 years (or until programme is subsequently reviewed, whichever is longer)	JISC guidance	AQS, Programme teams	Confidential

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
A10	Boards of Study/staff-student liaison committee minutes	Current academic year + 5 years (unless longer retention period required by professional body)	Best Practice	Schools, Programme teams	Open
A11	Design and conduct of student surveys. Results of student surveys: summaries and analyses of responses.	Completion of survey + 5 years	JISC guidance	Teaching and Learning Academy WebHub – Academic Registry Faculties, Schools, Programme teams	Confidential
A12	Results of student surveys: individual responses	Completion of analysis of survey responses	JISC guidance	Teaching and Learning Academy Faculties, Schools, Programme teams	Strictly Confidential
A13	Teaching and learning materials. Programme and module handbooks	Current academic year + 1 year	JISC guidance	Programme teams	Confidential
A14	Attendance monitoring records, including those recording tutorial meetings.	Completion of cohort on programme + 6 months.  For UKVI requirements, students on tier 4 VISAs – end of relationship with LJMU + 1 year.	Best Practice	Schools, Programme teams	Confidential

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
					See also <a href="#">D4</a> for UKVI Student Files
A15	Design and development of assessments.	Life of programme.	JISC guidance	Schools, Programme teams	Confidential
A16	Recording of individual students' submission of assessed work.	Completion of Cohort on programme + 6 months	Best Practice	SAS, Schools, Programme teams	Confidential
A17	Submitted/completed assessments not returned to/collected by the student (except where Professional, Statutory, and Regulator Bodies (PSRBs) have requirements for a different retention period)	No longer than the period until confirmation of marks/grades by Board of Examiners + 6 months.  However, coursework submitted electronically via the VLE will be kept for a period of up to 3 years, in line with student access to modules on the VLE.  If assessments are to be kept longer as exemplars,	JISC guidance  Best Practice	Schools, Programme teams	Confidential

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
		permission of the student(s) involved should be obtained and work anonymised where necessary.			
A18	Academic advice and guidance to individual students on the selection of research subjects and on the progress and standard of their work.	Completion of student's programme + 6 years	Limitation Act 1980 c.58 s.5	Programme teams	Confidential
A19	Marks/grades given to submitted/completed summative assessments and, where appropriate, awards and classifications.	Indefinitely	Best Practice	Academic Registry, Programme Teams	Confidential See also <a href="#">F5</a> for records enabling award verification
A20	Feedback on academic progress, and guidance and support provided to students.	Termination of relationship with student + 6 years	Limitation Act 1980 c.58 s.5	Programme teams Personal tutors	Confidential
A21	Records documenting the... - transfer of individual students to new programmes or to new modules within programmes. - withdrawal of individual students from LJMU. - termination of individual students' programmes.	Termination of relationship with student + 6 years	Limitation Act 1980 c.58 s.5	SAS, Schools, Programme Teams	Confidential
A22	Selection and appointment of external examiners.	End of appointment + 5 years	Best practice	AQS	Confidential/Strictly Confidential

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
A23	Liaison with external examiners on administrative matters.	Current academic year + 1 year	JISC guidance	AQS, Programme teams	Confidential
A24	External examiner reports	Term of office + 5 years	Best Practice	AQS, Programme Teams	Confidential
A25	Mid-Year Link Tutor Reports for Collaborative Programmes	Life of programme	Best Practice	AQS	Confidential
A26	Examination invigilators... - selection and appointment of - design and delivery of training for	Current academic year + 1 year	JISC guidance	Academic Registry, Faculties, Schools	Confidential/Strictly Confidential
A27	Control of examination papers and examination scripts. Timetabling of examinations. Organisation of examination facilities, including special arrangements for students with special needs. Individual students' attendance at examinations.	Current academic year + 1 year	JISC guidance	Academic Registry, Faculties, Schools	Confidential/Strictly Confidential
A28	Collation of examination results and individual notifications of results. Issue of awards lists.	Current academic year + 1 year	JISC guidance	Automatically stored in the Virtual Learning Environment (VLE)	Confidential See <a href="#">F1</a> for individual notifications of awards
A29	Awards lists	Issue of list + 6 years	Best Practice	Academic Registry	Confidential See <a href="#">F5</a> for records enabling award verification
A30	Arrangements for meetings of an Award Board.	Current year + 1 year	JISC guidance	Faculties, Schools, Programme teams	Confidential See <a href="#">Y8</a> for minutes of Award Boards

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**B: Programme Administration (research programmes)**

**Approved by:** Julie Sheldon, Dean, Graduate School

**Date:** 18<sup>th</sup> September 2015

The Programme Administration (research programmes) section of the Records Retention Schedule covers various records series in relation to the administration of research programmes. These include data, student surveys, supervisors and external examiners.

Other sections which relate to these records are [A: Programme Administration \(taught programmes\)](#) and [D: Student Administration and Services](#).

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
B1	Register of Dual PhD Award Agreements	Life of Institution	Best Practice	Graduate School, Academic Registry	Confidential
B2	Registration of individual students on programmes.	Termination of student relationship + 6 years	Limitation Act 1980 c.58 s.5	Graduate School, Academic Registry	Confidential
B3	Summaries and analyses of data on registration of students on programmes student numbers and other research programme statistics.	Life of Institution	Best Practice	Graduate School, Academic Registry	Confidential
B4	Design, conduct and review of induction programmes for new students.	Completion of induction programme + 5 years	JISC guidance	Schools, Faculties, Graduate School, Academic Registry	Confidential



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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
B5	Design and conduct of student surveys. Results of student surveys: summaries and analyses of responses.	Completion of survey + 5 years	JISC guidance	Graduate School, Academic Registry	Confidential
B6	Results of student surveys: individual responses	Completion of analysis of survey responses	JISC guidance	Graduate School, Academic Registry	Strictly Confidential
B7	Appointment of supervisors for research students.	Termination of appointment + 1 year	JISC guidance	Graduate School, Academic Registry	Confidential
B8	Academic advice and guidance to individual students on the selection of research subjects and on the progress and standard of their work.	Completion of student's programme + 6 years	Limitation Act 1980 c.58 s.5	Schools, Faculties	Confidential
B9	Academic progress of individual students and formal action taken by LJMU to deal with unsatisfactory progress. Feedback on academic progress, and guidance and support provided to students.	Termination of relationship with student + 6 years	Limitation Act 1980 c.58 s.5	Schools, Faculties, Graduate School, Academic Registry	Confidential
B10	Records documenting the... - transfer of individual students to new programmes. - withdrawal of individual students from LJMU. - termination of individual students' programmes.	Termination of relationship with student + 6 years	Limitation Act 1980 c.58 s.5	Graduate School, Academic Registry	Confidential

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
B11	Selection and appointment of external examiners.	Termination of appointment + 5 years	Best practice	Graduate School, Academic Registry	Confidential/Strictly Confidential
B12	Liaison with external examiners on administrative matters.	Current academic year + 1 year	JISC guidance	Graduate School, Academic Registry	Confidential
B13	External examiner reports	Term of office + 5 years	Best Practice	Graduate School, Academic Registry	Confidential
B14	Pass Lists/Awards lists	Issue of list + 10 years	JISC guidance	Graduate School, Academic Registry	Confidential
B15	Arrangements for meetings of Research Degrees Committee.	Current year + 1 year	JISC guidance	Graduate School, Academic Registry	Confidential See <a href="#">Y8</a> for minutes of Research Degrees Committee.

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### C: Student Recruitment

**Approved by:** Carolyn Williams, Director, Student Recruitment and Admissions

**Date:** 7<sup>th</sup> September 2015

The Student Recruitment section of the Records Retention Schedule covers various records series in relation to recruitment of students. These include recruitment events and schemes, enquiries and applications.

Abbreviations used in this section:

SR&A – Student Recruitment and Admissions

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
C1	Design, conduct and summary results of student recruitment campaigns and events.	Completion of campaign/event + 5 years	JISC guidance	SR&A	Confidential
C2	Design, operation and summary results of student recruitment schemes.	Current academic year + 5 years OR Termination of scheme + 5 years	JISC guidance	SR&A	Confidential
C3	Issue of student recruitment materials in bulk to schools and other organisations.	Current academic year.	JISC guidance	SR&A	Confidential
C4	Enquiries from prospective students.	Current academic year + 5 years	Best Practice	SR&A	Confidential

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
C5	Summaries and analyses of enquiry, recruitment and retention data.	Current academic year + 5 years	JISC guidance	SR&A	Confidential
C6	Development and establishment of LJMU's admission criteria.	Superseded + 10 years	JISC guidance	SR&A	Confidential
C7	Applications for admission: <b>successful</b> applications (including RPEL)	End of student relationship + 6 years	Limitation Act 1980 c.58 s.5	SR&A	Confidential
C8	Applications for admission: <b>unsuccessful</b> applications.	Current academic year + 5 years	Best Practice	SR&A	Confidential

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### D: Student Administration and Services

**Approved by:** Claire Breen, Head, Student Administration Services

**Date:** 20<sup>th</sup> August 2015

The Student Administration and Services section of the Records Retention Schedule covers various records series in relation to administration surrounding students rather than their programmes. These include clearing, information about students and student advice and wellbeing.

Other sections which relate to these records are [A: Programme Administration \(taught programmes\)](#) and [B: Programme Administration \(research programmes\)](#)

Abbreviations used in this section:

SAS – Student Administration Services

SAW – Student Advice and Wellbeing

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
D1	Administration of the clearing process.	Current academic year + 1 year	JISC guidance	Academic Registry, Student Recruitment and Admissions	Confidential
D2	Data on overall student numbers.	Current academic year + 5 years	Best Practice	Academic Registry	Confidential

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
D3	Personal data on individual students	End of 'registered student' relationship with LJMU + 6 years Unless records relate to another record series with a longer retention period	Limitation Act 1980 c.58	SAS, Faculties, Schools, SAW, Academic Registry	Confidential/Strictly Confidential
D4	UKVI Student Files	Duration of relationship with LJMU + 1 year	UKVI Tier 4 licence from UKVI	SAS	Strictly Confidential
D5	Module registration forms.	1 year	Best practice	Faculties, Schools	Confidential
D6	Standard analyses of data from individual students' records.	Current academic year + 5 years	JISC guidance	Academic Registry	Confidential
D7	Requests for ad hoc analyses of data from individual students' records.	Last action on request + 5 year	Best Practice	Academic Registry	Confidential
D8	Records to enable responses to requests from employers about student programmes, placements and training.	Education and Health – end of relationship with LJMU + 25 years All other subject areas – end of relationship with LJMU + 6 years	Best Practice  Limitation Act 1980 c.58	Schools	Confidential N.B. different retention periods for different subject areas
D9	Individual students' requests for statements of results/transcripts. Requests for confirmation of individual students' awards, attendance or	Last action on request + 1 year	JISC guidance	Academic Registry, SAS, Faculties, Schools	Confidential

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
	conduct from employers and other educational institutions.				
D10	Placement Learning documentation, to include: <ul style="list-style-type: none"> <li>• University Risk Assessment for Placement Learning</li> <li>• Placement Health, Safety and Learning Checklist</li> <li>• Student Placement Conduct and Health and Safety Agreement</li> </ul> As specified in Placement Learning Code of Practice	End of placement + 6 years	Limitation Act 1980 c.58	Schools	Strictly Confidential
D11	Student Advice and Wellbeing Records	End of relationship with LJMU + 6 years	Limitation Act 1980 c.58 Data Protection Act 1988	SAW	Strictly Confidential

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**E: Student Finance Administration**

**Approved by:** Claire Breen, Head, Student Administration Services

**Date:** 20<sup>th</sup> August 2015

The Student Finance Administration section of the Records Retention Schedule covers various records series in relation to interaction with student in relation to financial matters. These include tuition fees, bursaries and student loans.

Other sections which relate to these records are [P: Finance, Procurement and Insurance Management](#).

Abbreviations used in this section:

SAS – Student Administration Services

SAW – Student Advice and Wellbeing

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
E1	Applications for remission of tuition fees.	Determination of application + 6 years	Limitation Act 1980 c.58 s.5	SAW, SAS	Confidential
E2	Process of determining tuition fees.	Current + 5 years	JISC guidance	Finance, Academic Registry	Confidential
E3	Collection of tuition fees.	Current academic year + 1 year	JISC guidance	SAS	Confidential These are records documenting the collection/receipt of fees only. For financial records documenting the receipt



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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
					and processing of tuition fees see <a href="#">P3</a>
E4	US Federal Loans	7 years	US Government regulation	Academic Registry	Strictly Confidential
E5	Provision/award of... - financial aid - crisis/hardship payments - bursaries - scholarships and fellowships ...to individual students.	Current financial/academic year + 6 years	Limitation Act 1980 c.58 s.5	Academic Registry for bursaries, SAW for other awards, International Recruitment for International Scholarships	Confidential
E6	Nominations for prizes, the consideration of nominations and notifications to recipients of prizes. List of prize winners	Current academic year + 5 years	JISC guidance	Faculties, Schools	Confidential
E7	Student Loans Company (SLC) spreadsheets detailing tuition fee liability, attendance returns to SLC, remittance advice regarding tuition fee payments to LJMU from SLC	Indefinitely	Best Practice	Academic Registry	Confidential

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**F: Award Administration**

**Approved by:** John Rae, Manager, Academic Planning and Information Services

**Date:** 4<sup>th</sup> September 2015

The Award Administration section of the Records Retention Schedule covers various records series in relation to awards made by LJMU. These include award notification, award ceremonies and award verification.

Abbreviations used in this section:

CCSR – Corporate Communications and Stakeholder Relations

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
F1	Notification of awards to students and the issue of awards certificates.	Conferment of award + 1 year	JISC guidance	Faculties	Confidential
F2	Records documenting the process of inviting, receiving and considering nominations for honorary awards. Offers of honorary awards and responses received.	Conferment of award + 1 year	JISC guidance	VC's Office	Strictly Confidential
F3	Organisation of award ceremonies	Completion of ceremony + 1 year	JISC guidance	CCSR, Academic Registry	Confidential
F4	Production of and mailing of award certificates to individual students.	Completion of ceremony + 2 years	Best Practice	Academic Registry	Confidential
F5	Records to verify awards made by LJMU	Indefinitely	Best practice	Academic Registry	Strictly Confidential

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**G: Student Governance**

**Approved by:** Maria Burquest, Director, Legal and Governance Services

**Date:** 18<sup>th</sup> August 2015

The Student Governance section of the Records Retention Schedule covers various records series related to contractual relationship with students, regulations and associated procedures. These include disciplinary proceedings, academic and other formal appeals, criminal convictions and student complaints.

Other sections which relate to these records are [A: Programme Administration \(taught\)](#) and [B: Programme Administration \(research\)](#).

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
G1	Case files and outcomes of... - disciplinary proceedings against individual students, Criminal Convictions Panels, Fitness to Study Panels. - appeals by individual students including Academic Appeals, Academic Misconduct, Extenuating Circumstances, Disciplinary, Fitness to Practice and appeals against Faculty Criminal Convictions Panel decisions and Expulsion Appeals.	Last action on case + 6 years	Limitation Act 1980 c.58 s.5	Student Governance, Faculties, Schools	Strictly Confidential

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
	- formal complaints made by individual/groups of students against LJMU.				
G2	Complaints by individual students where the formal complaints procedure is not initiated.	Last action on complaint + 2 years	Best Practice	Student Governance/Schools /Professional Services	Strictly Confidential

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**H: Alumni Relations Management**

**Approved by:** Deborah Pownall, Employer Engagement and Alumni Manager, World of Work Careers Centre

**Date:** 20<sup>th</sup> August 2015

The Alumni Relations Management section of the Records Retention Schedule covers various records series in relation to managing LJMU's relationship with its alumni. These include information on, surveys of and communications to and from alumni.

Other sections which relate to these records are [V: Corporate Relations and Fundraising](#).

Abbreviations used in this section:

WWCC – World of Work Careers Centre

CCSR –Corporate Communications and Stakeholder Relations

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
H1	Personal data on individual alumni, separate to that held on SIS (i.e. that held on the Alumni Membership Database and Raisers Edge)	While current (or likely to be current)	JISC guidance	WWCC, CCSR	Strictly Confidential
H2	Alumni communications	Issue + 1 year	JISC guidance	WWCC	Open
H3	Enquiries from alumni and the responses provided.	Last action on enquiry + 1 year	JISC guidance	WWCC	Confidential
H4	Design and conduct of alumni surveys. Results of alumni surveys: summaries and analyses of responses	Completion of survey + 3 years	JISC guidance	WWCC	Confidential

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
H5	Results of alumni surveys: individual responses	Completion of analysis of survey responses	JISC guidance	WWCC	Strictly Confidential
H6	Design and conduct of Destination of Leavers (DLHE) Survey. Summaries (anonymised) and analyses of the DLHE Survey.	Current academic year + 5 years	JISC guidance	WWCC, WebHub, Programme Teams	Confidential
H7	DLHE Survey: individual responses	Current academic year + 3 years	Best Practice	WWCC	Strictly Confidential
H8	Planning and impact/results of LJMU events for alumni.	Completion of event + 3 years	JISC guidance	WWCC, Strategy Support Office	Confidential
H9	Organisation and administration of LJMU events for alumni.	Completion of event + 1 year	JISC guidance	WWCC	Confidential
H10	Administration of LJMU Funded Internship Programme.	Completion of programme + 1 year	JISC guidance	WWCC	Confidential
H11	Requests from alumni associations for support, the internal handling of these requests and the responses provided. Requests for contact details for alumni, action taken and the responses provided.	Last action on request + 1 year	JISC guidance	WWCC	Confidential

## Records Retention Schedule (Version 1.1)

### I: Research

**Approved by:** Julie Bertolini, Finance Director, Deputy Chief Executive and University Secretary

**Date:** 8<sup>th</sup> September 2015

The Research section of the Records Retention Schedule covers various records series in relation to research at LJMU. These include information on reviews and audits of research quality and standards, research opportunities, projects, conduct and management.

Other sections which relate to these records are [P: Finance, Procurement and Insurance Management](#).

Abbreviations used in this section:

RIS – Research and Innovation Services

MRC – Medical Research Council

N.B. EU funded programmes are subject to various record retention periods and as a result records cannot be destroyed for a given period after the project completion date. For record retention dates on all EU funded programmes please contact Research & Innovation Services on extension 6469 or e-mail: [m.harby@ljmu.ac.uk](mailto:m.harby@ljmu.ac.uk)

Additional information on the specific document retention requirements for the European Structural and Investment Fund ERDF and ESF programmes can be found on the LJMU intranet at the following link: <https://www2.ljmu.ac.uk/secretariat/123244.htm>.

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
I1	Conduct and results of formal internal reviews of research quality, and responses to the results.	Current academic year + 5 years	JISC guidance	RIS	Open

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
	Conduct and results of external reviews and audits of research quality and standards.				
I2	Identification and exploration of new research opportunities which lead to research projects.	Completion of project	JISC guidance	RIS, Associate Deans for Scholarship, Research & Knowledge Exchange, Finance	Confidential
I3	Identification and exploration of new research opportunities which do not lead to research projects.	Last action + 5 years	JISC guidance	RIS, Associate Deans for Scholarship, Research & Knowledge Exchange, Finance	Confidential
I4	Formation and management of partnerships and other collaborative arrangements to undertake research.	Life of partnership/arrangement + 6 years	Limitation Act 1980 c.58 s.5	RIS, Finance, Legal Services, Researchers	Confidential
I5	Design and planning of research projects which are not undertaken.	Abandonment of plans + 1 year (However, retention for a longer period may be advisable, depending on the reasons for abandoning the project)	JISC guidance	Researchers, RIS, Finance, Legal Services	Confidential



Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
I6	Design and planning of research projects which are undertaken	Completion of project + 10 years	JISC guidance	Researchers, RIS, Finance, Legal Services	Confidential /Strictly Confidential depending on the nature of the details held.
I7	Preparation and submission of applications for funding, where the application is unsuccessful (i.e. does not result in the offer of a funding award).	Receipt of notification that application was unsuccessful + 1 year	JISC guidance	Researchers, RIS, Finance	Confidential
I8	Preparation and submission of applications for funding, where the application is successful (i.e. results in the offer of a funding award).	Completion of project (i.e. termination of award) + 6 years	Limitation Act 1980 c.58 s.5	Researchers, RIS, Finance	Confidential
I9	Conduct of research funded by the MRC, except where other requirements are specified.	Completion of project + 10 years	MRC, Good Research Practice, section 5.2	Researchers, RIS (Research Ethics Committee)	Strictly Confidential
I10	Conduct of clinical or public health studies funded by the MRC, except specific categories of records in studies for which consent was obtained.	Completion of project + 20 years	MRC, Good Research Practice, section 5.2 MRC, Personal Information in Medical Research, section 7.1.2	Researchers, RIS (Research Ethics Committee)	Strictly Confidential

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
I11	Protocol, the consent procedure, the participants and adverse effects in all studies (for which consent was obtained) funded by the MRC.	Completion of project + 30 years	MRC, Personal Information in Medical Research, section 7.1.2	Researchers, RIS (Research Ethics Committee)	Strictly Confidential
I12	Conduct of all other research funded by all other organisations.	Completion of project + 10 years (However a shorter or longer retention period may be appropriate, depending on what may be required by a research sponsor)	Stated or implied requirements of UK Research Councils and other significant research sponsors.	Researchers, RIS (Research Ethics Committee)	Strictly Confidential
I13	Working papers for the preparation of publications, audio-visual presentations etc. to disseminate research results.	Publication/Delivery + 1 year	JISC guidance	Researchers, RIS	Confidential
I14	Final versions of publications and presentations made to disseminate research results.	Publication/Delivery + 3 years	JISC guidance	Researchers, RIS	Confidential
I15	Management of internally-funded research projects.	Completion of project + 3 years	Common internal audit requirement	Researchers, RIS	Confidential
I16	Management of externally-funded research projects.	Completion of project + 6 years (However, a shorter or longer retention	Limitation Act 1980 c.58 s.5	Researchers, RIS	Confidential

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
		period may be appropriate, depending on what may be required by a research sponsor)			
I17	Research Ethics Committee applications and outcomes	Conferment of target Completion of award/research project + at least 3 months	Best Practice	Faculties, Schools, RIS, Researchers	Strictly Confidential

Records Retention Schedule (Version 1.1)

**J: Consultancy**

**Approved by:** Julie Bertolini, Finance Director, Deputy Chief Executive and University Secretary

**Date:** 8<sup>th</sup> September 2015

The Consultancy section of the Records Retention Schedule covers various records series in relation to consultancy and contract research work carried out by LJMU staff. These include directories of expertise, consultancy proposals, contracts management , tenders and various project work.

Other sections which relate to these records are [K: Intellectual Property Rights \(IPR\) Management](#) and [I: Research](#).

Abbreviations used in this section:

RIS – Research and Innovation Services

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
J1	Directories of expertise	Current	Data Protection Act 1998.	Faculties, Schools, Professional Services, RIS	Confidential
J2	Preparation and submission of consultancy proposals/tenders, where the proposal/tender is unsuccessful (i.e. does not result in a contract).	Last action/receipt of notification that proposal/tender was unsuccessful + 1 year	Best Practice	Faculties, Schools, Professional Services, RIS	Confidential
J3	Preparation and submission of consultancy and related	Termination of contract + 6 years	Limitation Act 1980 c.58 s.5	Faculties, Schools, Professional	Confidential

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
	proposals/tenders, where the proposal/tender is successful (i.e. results in a contract). Negotiation and agreement of contracts and schedule of work and fees, and subsequent variations to contract. Project deliverables/outcomes.			Services, RIS, Legal Services	
J4	Management of consultancy and contract research projects. Substantive project work.	Termination of contract + 3 years	Common audit requirement	Faculties, Schools, Professional Services, RIS	Confidential/Strictly Confidential
J5	Scheduling of meetings, interviews and other project work	Termination of contract	JISC Guidance	Faculties, Schools, Professional Services, RIS	Confidential
J6	Management of Knowledge Transfer Partnership (KTP) successful contract agreements	Up to 25 years	Innovate UK/KTP framework guidance	RIS	Confidential
J7	Knowledge Transfer Partnership (KTP) project files	Completion of project + 6 years	Innovate UK/KTP framework guidance	RIS, Faculties, Schools	Confidential

## Records Retention Schedule (Version 1.1)

### **K: Intellectual Property Rights (IPR) Management**

**Approved by:** Julie Bertolini, Finance Director, Deputy Chief Executive and University Secretary

**Date:** 8<sup>th</sup> September 2015

The Intellectual Property Rights (IPR) Management section of the Records Retention Schedule covers various records series in relation to intellectual property. These include patent applications and infringements of LJMU's IPR.

Other sections which relate to these records are [J: Consultancy](#) and [I: Research](#).

Abbreviations used in this section:

RIS – Research and Innovation Services

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
K1	LJMU's applications for patents and patent certificates.	Life of patent + 50 years	Legal opinion	RIS, Legal Services	Confidential
K2	LJMU's applications for other forms of IPR protection (registered trademarks, registered designs) and certificates of registration	End of registration + 6 years	Limitation Act 1980 c.58 s.5	RIS, Legal Services	Confidential
K3	Applications for renewal of IPR protection, up to the maximum period permitted.	Life of patent/End of registration	JISC guidance	RIS, Legal Services	Confidential
K4	Routine monitoring of third party activity to detect infringements of LJMU's IPR.	Current year + 5 years	JISC guidance	RIS, Legal Services	Confidential
K5	Identified infringements of LJMU's IPR, and action taken other than litigation.	Last action on case + 6 years	Limitation Act 1980 c.58 s.5	RIS, Legal Services	Confidential

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
K6	Intellectual Property Rights (IPR) correspondence (disclosures; common campaigns; formal panel reviews)	Current year + 5 years	JISC guidance	RIS, Legal Services	Confidential

Records Retention Schedule (Version 1.1)

**L: Health and Safety Management**

**Approved by:** Colin Davies, Director, Estate Management

**Date:** 4<sup>th</sup> September 2015

The Health and Safety Management section of the Records Retention Schedule covers various records series in relation to the management of health and safety. These include safety representatives, the health and safety committee, instruction and training, monitoring or employees exposed to hazards, ionising radiation regulations, fire safety and first aid.

Other sections which relate to these records are [N: Human Resources Management](#), [M: Occupational Health](#) and [X: Governance](#).

Abbreviations used in this section:

H&SU – Health and Safety Unit

P&OD – People and Organisational Development

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
L1	Conduct and results of health and safety inspections of LJMU’s land, buildings, facilities or operations, and action taken to address issues raised.	Current year + 5 years	JISC guidance	H&SU, Faculties, Professional Services	Confidential Retaining previous inspections provides evidence of compliance and effective management of H&S over time.
L2	Conduct and results of health and safety audits.	Completion of audit + 5 years	JISC guidance	H&SU	Confidential Retaining previous audits provides evidence of



Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
					compliance and effective management of H&S over time.
L3	Notifications of appointments of safety representatives by trade unions under Regulation 3 of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Termination of appointment + 5 years	Best Practice	P&OD	Confidential
L4	Provision of time off, and other facilities and assistance, for... - safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 SI 1977/500). - representatives of employee safety appointed under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).	Current year + 5 years	JISC guidance	P&OD	Confidential
L5	Consultation and other communications with... - safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500). - representatives of employee safety elected under the Health and Safety (Consultation with Employees)	Current year + 10 years	Best Practice	H&SU	Confidential

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
	Regulations 1996 (SI 1996/1513), or with all employees directly.				
L6	Establishment of a safety committee to fulfil LJMU's duty under s 2(7) of the Health and Safety at Work etc. Act 1974 (c. 37) and in accordance with Regulation 9 of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500). Includes records documenting the objectives, role, functions, composition and administration of the committee.	Dissolution of committee + 10 years	Best Practice	H&SU	Confidential
L7	Proceedings and decisions of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Current year + 5 years	Best Practice	H&SU	Public See also Governance <a href="#">Y11</a>
L8	Provision of training (specifically related to their functions as representatives) for representatives of employee safety elected under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).	Current year + 5 years	JISC guidance	H&SU	Confidential
L9	Provision of H&S information, instruction and training for employees, students and others, except where specified elsewhere in this Records Retention Schedule.	Current year + 5 years	JISC guidance	H&SU, Faculties, Professional Services	Confidential

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
L10	Provision of training and information for employees using workstations, to fulfil LJMU's duties under Regulations 6 and 7 of the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792).	Current year + 5 years	Best Practice	H&SU	Confidential
L11	Provision of information, instruction and training for... - employees who are exposed to noise, to fulfil LJMU's duties under Regulation 10 of the Control of Noise at Work Regulations 2005 (SI 2005/1643). - substances hazardous to health, to fulfil LJMU's duties under Regulation 12 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677). - asbestos, to fulfil LJMU's duties under Regulation 10 of the Control of Asbestos Regulations 2006 (SI 2006/2739). - ionising radiation, to fulfil LJMU's duties under Regulation 14 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Current year + 5 years	Best Practice	H&SU, Line managers, Estates Management, Radiation Protection Adviser/Supervisors	Confidential Retaining previous records provides evidence of compliance and effective management of H&S over time. A longer retention period may be appropriate if there have been potentially dangerous exposures.
L12	Conduct, review and revision of risk assessments made to fulfil LJMU's duties under Regulation 3 of the Management of Health and Safety at	Current + 5 years	Best Practice	Faculties, Professional Services	Confidential As a minimum, risk assessments should be retained until they are

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
	Work Regulations 1999 (SI 1999/3242) and except where specified elsewhere in this Records Retention Schedule.				superseded. Retaining previous versions provides evidence of compliance and effective management of H&S over time.
L13	<p>Conduct, review and revision of assessments of risks to H&amp;S created by...</p> <ul style="list-style-type: none"> <li>- using workstations, to fulfil LJMU's duties under Regulation 2 of the Health &amp; Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792).</li> <li>- exposure to noise, made to fulfil LJMU's duties under Regulation 5 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).</li> <li>- work with substances hazardous to health, to fulfil LJMU's duties under Regulation 6 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).</li> <li>- exposure to asbestos, to fulfil LJMU's duties under Regulation 6 of the Control of Asbestos Regulations 2006 (SI 2006/2739).</li> <li>- work with ionising radiation, to fulfil LJMU's duties under Regulation 7 of</li> </ul>	Current year + 5 years	Best Practice	Faculties, Professional Services, Estate Management	Confidential Retaining previous versions provides evidence of compliance and effective management of H&S over time. A longer retention period may be appropriate if there have been potentially dangerous exposures.

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
	the Ionising Radiations Regulations 1999 (SI 1999/3232).				
L14	Provision of personal protective equipment to employees, to fulfil LJMU's duties under Regulation 7 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Issue of equipment + 5 years	Best Practice	Faculties, Professional Services	Strictly Confidential See also P&OD <a href="#">N35</a>
L15	Maintenance, examination and use of equipment provided to control exposure to... - noise, to fulfil LJMU's duties under Regulation 8 of the Control of Noise at Work Regulations 2005 (SI 2005/1643). - substances hazardous to health, to fulfil LJMU's duties under Regulation 9 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677). - asbestos, to fulfil LJMU's duties under Regulation 13 of the Control of Asbestos Regulations 2006 (SI 2006/2739). - ionising radiation, to fulfil LJMU's duties under Regulation 10 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of examination/test/repair + 5 years	JISC guidance  SI2005/1643 Regulation 8  SI 2002/2677 Regulation 9(4)  SI 2006/2739 Regulation 13(3)	Estate Management, Faculties, Professional Services	Confidential Retaining previous records provides evidence of compliance and effective management of H&S over time.
L16	Conduct and results of monitoring the personal exposures of individual employees to substances hazardous to	Last entry + 40 years	SI 2002/2677 Regulation 10(5)(a)	Faculties, Professional Services	Strictly Confidential

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
	health, to fulfil LJMU's duties under Regulation 10 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).				
L17	Conduct and results of monitoring employees' general exposure to... - substances hazardous to health, to fulfil LJMU's duties under Regulation 10 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677). - asbestos, to fulfil LJMU's duties under Regulation 19 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Last entry + 5 years	SI 2002/2677 Regulation 10(5)(b)  I 2006/2739 Regulation 19(4)(b)	Faculties, Professional Services	Strictly Confidential
L18	Development of plans and information to deal with accidents, incidents and emergencies related to the presence of... - substances hazardous to health, to fulfil LJMU's duties under Regulation 13 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677). - asbestos, to fulfil LJMU's duties under Regulation 15 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Superseded + 10 years	JISC guidance	H&SU	Confidential Retaining previous plans and information provides evidence of compliance and effective management of H&S over time.

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
L19	LJMU's response to accidents, incidents and emergencies involving... - substances hazardous to health, to fulfil LJMU's duties under Regulation 13 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677). - asbestos, to fulfil its duties under Regulation 15 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Last action on event + 10 years	JISC guidance	H&SU	Confidential Retaining records for a long period provides evidence of effective management of emergency situations. A longer retention period may be appropriate if there have been potentially dangerous exposures.
L20	Notifications to enforcing authorities of proposed work with asbestos, to fulfil LJMU's duties under Regulation 9 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Duration of work + 10 years	JISC guidance	H&SU, Estate Management	Confidential
L21	Maintenance of personal protective equipment provided to control exposure to ionising radiation, to fulfil LJMU's duties under Regulation 10 of the Ionising Radiations Regulations 1999 (SI 1999/3232). Maintenance and testing of equipment for monitoring levels of ionising radiation, to fulfil LJMU's duties under Regulation 19 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of examination/test/repair + 2 years	SI 1999/3232 Regulation 10(2) Regulation 19(4)(c)	Faculties, Professional Services	Confidential
L22	Preparation of contingency plans to deal with radiation accidents, to fulfil	Superseded + 5 years	Best Practice	Faculties, Professional	Confidential

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
	LJMU's duties under Regulation 12 of the Ionising Radiations Regulations 1999 (SI 1999/3232).			Services, Radiation Protection Advisors	
L23	Monitoring of levels of ionising radiation in designated controlled areas, to fulfil LJMU's duties under Regulation 19 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of monitoring + 2 years	SI 1999/3232 Regulation 19(4)(c)	Faculties, Professional Services	Confidential
L24	Assessments of doses of ionising radiation received by 'classified persons' which are likely to be significant, to fulfil LJMU's duties under Regulation 21 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of assessment + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	SI 1999/3232 Regulation 21(3)(a)	Faculties, Professional Services	Confidential
L25	Summaries of dose records, as required by Regulation 21 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Current year + 2 years	SI 1999/3232 Regulation 21(7)	H&SU	Confidential
L26	Investigations into the exposure of 'classified persons' to ionising radiation, to fulfil LJMU's duties under Regulation 22 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of report of investigation + 2 years	SI 1999/3232 Regulation 22(4)	H&SU	Strictly Confidential
L27	Assessments of individual doses of ionising radiation received as a result of a radiation accident, to fulfil LJMU's duties under Regulation 23 of the	Date of accident + 50 years OR Until the employee reaches (or would	SI 1999/3232 Regulation 23(2)(b)	H&SU, Radiation Protection Advisors	Strictly Confidential



Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
	Ionising Radiations Regulations 1999 (SI 1999/3232).	have reached, if deceased) 75 years, whichever is the later.			
L28	Immediate investigations into possible overexposure to ionising radiation, to fulfil LJMU's duties under Regulation 25 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of report of investigation + 2 years	SI 1999/3232 Regulation 25(2)(a)	H&SU, Faculties, Professional Services	Confidential
L29	Investigations into occurrences of overexposure to ionising radiation, to fulfil LJMU's duties under Regulation 25 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of report + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	SI 1999/3232 Regulation 25(2)(b)	H&SU	Confidential
L30	Tests to detect leakage from articles containing or embodying radioactive substances, to fulfil the institution's duties under Regulation 27 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Completion of subsequent test on article OR Disposal of article + 2 years.	SI 1999/3232 Regulation 27(3)	Radiation Protection Supervisors and Radiation Protection Advisors	Confidential
L31	Records of the quantity and location of radioactive substances, to fulfil LJMU's duties under Regulation 28 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Disposal of radioactive substance + 2 years OR Date of record + 2 years, whichever is the longer.	SI 1999/3232 Regulation 28	H&SU, Faculties, Professional Services	Confidential

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
L32	Immediate investigations into possible accidental release or theft of radioactive substances, where no release or theft was found to have occurred, to fulfil LJMU's duties under Regulation 30 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of report + 2 years	SI 1999/3232 Regulation 30	H&SU, Faculties, Professional Services	Confidential
L33	Immediate investigations into possible accidental release or theft of radioactive substances, where accidental release or theft was found to have occurred, to fulfil LJMU's duties under Regulation 30 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of report + 50 years	SI 1999/3232 Regulation 30	H&SU, Faculties, Professional Services	Confidential
L34	Injuries, dangerous occurrences and outbreaks of notifiable diseases on LJMU's premises, to fulfil LJMU's duties under Regulation 7 of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (SI 1995/3163, Schedule 4). Adverse Event Reporting Forms.	Date of recording + 3 years	SI 1995/3163 Regulation 7(3)  SI 1993/2113 Regulation 2	H&SU, Occupational Health	Strictly Confidential See also P&OD <a href="#">N36</a>
L35	Investigation of accidents, dangerous occurrences and outbreaks of notifiable diseases on LJMU's premises.	Closure of investigation + 40 years	Limitation Act 1980 c.58 s.11	H&SU	Strictly Confidential
L36	Conduct, review and revision of fire safety risk assessments to fulfil LJMU's duties under Article 9 of the Regulatory	Superseded + 5 years	JISC guidance	H&SU	Confidential Retaining previous versions provides evidence of compliance

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
	Reform (Fire Safety) Order 2005 (SI 2005/1541)				and effective management of H&S over time.
L37	Fire safety arrangements made to fulfil LJMU's duties under Article 11 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Superseded + 5 years	JISC guidance	H&SU	Public Retaining previous versions provides evidence of compliance and effective management of H&S over time.
L38	Nomination and appointment of Fire Wardens/Fire Evacuation Co-ordinators to implement and assist in implementing fire-fighting and safety measures to fulfil LJMU's duties under Articles 13 and 18 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	End of appointment + 5 years	Best Practice	H&SU, Faculties, Professional Services	Open Retention of these records must comply with the provisions of the Data Protection Act 1998 (c. 29).
L39	Provision of role-specific training for Fire Wardens/Fire Evacuation Co-ordinators to implement fire-fighting measures in the institution's premises to fulfil LJMU's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541). Provision of fire safety training to employees to fulfil LJMU's duties under Article 21 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541). Records documenting the conduct and	Current year + 5 years	JISC guidance	H&SU	Confidential Retaining information about previous training/drills etc. provides evidence of compliance and effective management of H&S over time.

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
	review of safety drills to fulfil LJMU's duties under Article 15 of the Regulatory Reform (Fire safety) Order 2005 (SI 2005/1541).				
L40	Conduct, review and revision of assessments of requirements for fire-fighting equipment and for fire detectors and alarms to fulfil LJMU's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Review of assessment + 5 years	JISC guidance	H&SU, Estate Management	Confidential Retaining information about previous training provides evidence of compliance and effective management of H&S over time.
L41	Maintenance of premises, facilities and equipment to fulfil LJMU's duties under Articles 17 and 38 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years	JISC guidance	Estate Management	Confidential Retaining maintenance history provides evidence of compliance and effective management of H&S over time.
L42	Arrangements with external emergency services for the provision of first-aid, emergency medical care, fire-fighting and rescue services (including the provision of information on LJMU's emergency procedures and arrangements) to fulfil the institution's duties under Article 16 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years OR Superseded + 5 years	JISC guidance	H&SU	Confidential Retaining information about previous drills etc. provides evidence of compliance and effective management of H&S over time.

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
L43	Appointment of first aiders.	Termination of appointment + 5 years	Best Practice	H&SU	Confidential
L44	Provision of approved training for first aiders to fulfil LJMU's duties under Regulation 3 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917).	Current year + 3 years OR Superseded + 3 years	JISC guidance	H&SU	Confidential Retaining information about previous training provides evidence of compliance and effective management of H&S over time.
L45	Provision of information about first aid arrangements for employees, to fulfil LJMU's duties under Regulation 4 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917). Conduct, review and revision of assessments of requirements for first aid facilities, equipment and trained personnel to fulfil LJMU's duties under Regulation 3 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917).	Superseded + 3 years	JISC guidance	H&SU	Confidential Retaining information about previous training provides evidence of compliance and effective management of H&S over time.

Records Retention Schedule (Version 1.1)

**M: Occupational Health**

**Approved by:** Julie Lloyd, Director People and Organisational Development and Phil Vickerman, Executive Director to the Vice-Chancellor

**Date:** 20<sup>th</sup> August 2015

The Occupational Health section of the Records Retention Schedule covers various records series in relation to health issues. These include all records made by the Occupational Health Physician and Nursing Team: health and medical surveillance, vocational screening for students and staff referrals.

Other sections which relate to these records are [L: Health and Safety Management](#) and [N: Human Resources Management](#).

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
M1	Health surveillance of employees who are exposed to noise, carried out to fulfil LJMU's duties under Regulation 9 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Date of last entry in record + 40 years	Control of Noise at Work Regulations 2005 (9) (SI 2005/1643)	Occupational Health	Strictly Confidential
M2	Health surveillance of individual employees who are exposed to... - substances hazardous to health. - asbestos.	Date of last entry in record + 40 years	COSHH Regulation 2002 SI 2002/2677 Regulation 11(3) Control of	Occupational Health	Strictly Confidential

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
			Asbestos Regulations SI 2006/2739 Regulation 22(1)(b)		
M3	Medical surveillance of individual employees who are exposed to ionising radiation and are required to be under medical surveillance, to fulfil LJMU's duties under Regulation 24 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of last entry + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	Ionising Radiation Regulations SI 1999/3232 Regulation 24(3)	Occupational Health	Strictly Confidential
M4	Health assessments for night workers, and the results of assessments, as required by the Working Time Regulations 1998 (SI 1998/1833).	Date of record + 2 years	Working Time Regulations S.I. 1998 No. 1833 Regulations 5 and 9	Occupational Health	Strictly Confidential
M5	Pre-employment health screening of an employee.	Termination of employment + 6 years	Limitation Act 1980 c.58 s.5	Occupational Health, P&OD	Strictly Confidential See also P&OD <a href="#">N34</a>
M6	Staff Referrals to OH Physician	Termination of employment + 6 years	Limitation Act 1980 c.58 s.5	Occupational Health	Strictly Confidential
M7	Student Referrals to OH Physician	End of relationship with LJMU + 6 years	Limitation Act 1980 c.58 s.5	Occupational Health	Strictly Confidential
M8	Student Screening for Vocational Courses	End of relationship with LJMU + 6 years	Limitation Act 1980 c.58 s.5	Occupational Health	Strictly Confidential

Records Retention Schedule (Version 1.1)

<b>Ref</b>	<b>Record Type</b>	<b>Retention Period</b>	<b>Guidance for retention period/legal reference</b>	<b>Responsibility</b>	<b>Classification/Notes</b>
M9	Travel/Fieldwork/Research Passports for Student and Staff	End of relationship with LJMU + 6 years/ Termination of employment plus 6 years	Limitation Act 1980 c.58 s.5	Occupational Health	Strictly Confidential
M10	Vaccination records	50 years	Best Practice	Occupational Health	Strictly Confidential



## Records Retention Schedule (Version 1.1)

### N: Human Resources Management

**Approved by:** Julie Lloyd, Director People and Organisational Development and Phil Vickerman, Executive Director to the Vice-Chancellor

**Date:** 20<sup>th</sup> August 2015

The Human Resources Management section of the Records Retention Schedule covers various records series in relation to staff employed by LJMU. These include recruitment, training, grievances, leave, various personal records relating to an individual's employment and trade unions.

Other sections which relate to these records are [L: Health and Safety Management](#).

Abbreviations used in this section:

P&OD – People and Organisational Development

H&SU – Health and Safety Unit

LDF – Leadership and Development Foundation

PDPR – Personal Development and Performance Review

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
N1	Assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements.	Current year + 3 years	Limitation Act 1980 c.58 s.5	P&OD, Deans, Directors	Confidential

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
N2	Development and evaluation of job specifications.	Superseded + 5 years	JISC guidance	P&OD, Deans, Directors	Confidential
N3	Advertising of vacancies.	Completion of recruitment process + 3 months	Sex Discrimination Act 1975 c.65 Race Relations Act 1976 c.74 Disability Discrimination Act 1995 c.50 SI 2006/1031 Regulations 7, 36 and 42 SI 2003/1660 Regulations 6, 28 and 34 SI 2003/1661 Regulations 6, 28 and 34 Employment Practices Code, Section 1.7.1 (Information Commissioner's Office, 2005)	P&OD	Confidential

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
N4	Applications for vacancies: <b>unsuccessful</b> applications.	Completion of recruitment process + 1 year	Sex Discrimination Act 1975 c.65 Race Relations Act 1976 c.74 Disability Discrimination Act 1995 c.50 SI 2006/1031 Regulations 7, 36 and 42 SI 2003/1660 Regulations 6, 28 and 34 SI 2003/1661 Regulations 6, 28 and 34 CIPD recommendation	P&OD	Confidential
N5	Applications for vacancies : <b>successful</b> applications.	Termination of employment + 6 years	Limitation Act 1980 c.58 s.5	P&OD	Confidential See also <a href="#">N19</a>
N6	Summary statistical information about job applicants e.g. ethnicity/gender analyses.	Current year + 5 years	JISC guidance	P&OD	Confidential

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
N7	Administration of induction programmes.	Completion of programme + 1 year OR Termination of programme + 1 year	JISC guidance	Staff Development, P&OD	Confidential
N8	Summary information on workforce training and development needs, including the Academic and Professional Services Staff Development Plan.	Current year + 5 years	JISC guidance	LDF	Confidential See also PDPR ( <a href="#">N25</a> ).
N9	Awards made on behalf of other bodies where training has been provided by LJMU.	See requirements of awarding body	Stipulation of awarding body	LDF	Confidential
N10	Development of training and development programmes to meet defined needs.	Completion of programme + 5 years	JISC guidance	LDF	Confidential
N11	Individual feedback on training and development programmes.	Completion of programme + 2 years	Best Practice	LDF	Confidential
N12	Workforce feedback (anonymised) on /management analyses of the impact of training and development programmes.	Current year + 5 years	JISC guidance	LDF	Confidential
N13	Development of workforce performance assessment systems.	Life of system + 5 years	JISC guidance	P&OD, Deans, Directors	Confidential
N14	Development of LJMU's remuneration structure.	Current year + 10 years	JISC guidance	P&OD	Confidential
N15	Records documenting pay reviews.	Current year + 5 years	JISC guidance	P&OD	Confidential

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
N16	Hours worked by employees, including those who have agreed to work more than 48 hours a week, as required by the Working Time Regulations 1998 (SI 1998/1833).	2 years from date on which they were made	Working Time Regulations S.I. 1998 No. 1833 Regulations 5 and 9	P&OD	Confidential
N17	Records documenting the design of workforce surveys and consultations. Summary (anonymised) results of workforce surveys and consultations.	Completion of survey/consultation + 5 years	JISC guidance	P&OD, Corporate Communications & Stakeholder Relations	Confidential
N18	Grievances raised by staff (which do not relate directly to their own contracts of employment), LJMU's response, action taken and the outcome.	Last action on case + 6 years.	Limitation Act 1980 c.58 s.5	P&OD	Strictly Confidential
N19	Employee's initial application for employment with LJMU and supporting documentation supplied by third parties (e.g. references, Criminal Records Bureau checks).	Termination of employment + 6 years (as part of employee contract records) except information which is not relevant to the ongoing employment relationship.	Limitation Act 1980 c.58 s.5 See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2005).	P&OD	Strictly Confidential See also <a href="#">N5</a>

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
N20	Employee's subsequent applications for other jobs within LJMU. Job descriptions of positions held by an employee within LJMU.	Duration of job + 1 year	JISC guidance	P&OD	Confidential
N21	Employee's contract (s) of employment with LJMU/changes to terms and conditions of employment.	Termination of employment + 6 years	Limitation Act 1980c.58 s.5	P&OD	Strictly Confidential
N22	Induction programmes attended by an employee. Training records for individual members of staff – Staff Infobase	Termination of employment + 6 years	Best practice	P&OD	Strictly Confidential
N23	Employee's identified training and development needs, and the action taken to meet these needs.	Completion of actions + 5 years	JISC guidance	Line Managers	Confidential See also PDPR ( <a href="#">N25</a> ).
N24	Job-specific statutory/regulatory training requirements for an employee, and the training provided to meet these requirements.	Expiry of certification + 6 years OR Superseded + 6 years whichever is longer	Limitation Act 1980 c.58 s.5	Line Managers	Confidential See also PDPR ( <a href="#">N25</a> ).
N25	PDPR documentation.	Superseded + 3 years	JISC guidance	Line Managers, individuals	Strictly Confidential
N26	Disciplinary proceedings against an employee, where employment continues. Grievances raised by an employee which relate directly to his/her own contract of employment, LJMU's	Termination of employment + 6 years	Chartered Institute of Personnel and Development recommendati on	P&OD	Strictly Confidential

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
	response, action taken and the outcome.				
N27	Employee's remuneration and rewards (e.g. bonuses, merit awards, long service awards).	Current Tax Year + 3 years  Recommended: Current Tax Year + 6 years	Limitation Act 1980 c.58 s.5 Equal Pay Act 1970 c.9 s.34 National Minimum Wage Regulations 1999 – S.I. 1999 No. 584	P&OD	Strictly Confidential See also Finance <a href="#">P12</a> , <a href="#">P13</a>
N28	Administration of an employee's contractual holiday entitlement. Authorisation and administration of special leave, e.g. compassionate leave, study leave.	Current Year + 1 year	JISC guidance	P&OD	Confidential
N29	Records documenting an employee's absence due to sickness – Staff Infobase.	Termination of employment + 6 years	The Statutory Sick Pay (Maintenance of Records) (Revocation) Regulations 2014 (SI 2014/55)	P&OD	Strictly Confidential See also Finance <a href="#">P14</a>
N30	Fit notes, provided by employee in authorisation of sickness absences.	6 years	Guidance from P&OD	Sickness Administrators	Strictly Confidential

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
N31	Authorisations and administration of statutory leave entitlements e.g. parental leave	Completion of entitlement (5 years from birth/adoption of the child or 18 years if the child receives a disability allowance ) + 6 years	The Maternity & Parental Leave etc. Regulations  S.I. 1999/3312	P&OD	Confidential
N32	Entitlements to, and calculations of, Statutory Maternity Pay.	Current Tax Year + 3 years	Social Security Contributions & Benefits Act 1992 c.4 Statutory Maternity Pay S.I.1986/1960 Reg. 26 The Statutory Maternity Pay (General) (Amendment) Regulations 2005	P&OD	Strictly Confidential See also Finance <a href="#">P15</a>
N33	Employee's basic personal details (e.g. address, next of kin, emergency contacts).	Until superseded	Retention must comply with the provisions of the Data Protection Act 1998 c.29	P&OD	Strictly Confidential



Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
N34	Pre-employment health screening of an employee.	Termination of employment + 6 years	Limitation Act 1980 c.58 s.5	Occupational Health, P&OD	Strictly Confidential See also Occupational Health <a href="#">M5</a>
N35	Issue of personal protective equipment/other special equipment to an employee.	Termination of employment + 6 years	Limitation Act 1980 c.58 s.5	Line managers	Strictly Confidential See also H&S <a href="#">L14</a>
N36	Major injuries to an employee arising from accidents in the workplace.	Termination of employment + 40 years.	Limitation Act 1980 c.58 s.11	P&OD, H&SU	Strictly Confidential See also H&S <a href="#">L34</a>
N37	Employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal.	Termination of employment + 6 years	Limitation Act 1980 c.58 s.5	P&OD	Strictly Confidential
N38	References provided in confidence in support of an employee's application(s) for employment by another organisation.	Provision of reference + 1 year	JISC guidance	Line Managers, P&OD	Strictly Confidential
N39	LJMU's recognition/derecognition of trades unions.	Derecognition + 6 years	Limitation Act 1980 c.58 s.5	P&OD	Confidential
N40	Agreements with trade unions.	Termination of agreement + 10 years	Limitation Act 1980 c.58 Chartered Institute of Personnel & Development, Retention of personnel and	P&OD	Confidential

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
			other related records (2006)		
N41	Consultations/negotiations with trade unions on specific issues.	Last action on issue + 20 years	JISC guidance	P&OD	Confidential

**O: Equality and Diversity Management**

**Approved by:** Julie Lloyd, People and Organisational Development and Phil Vickerman, Executive Director to the Vice-Chancellor

**Date:** 20<sup>th</sup> August 2015

The Equality and Diversity Management section of the Records Retention Schedule covers various records series in relation to equality and diversity as prescribed by legislation and LJMU equal opportunities policies. These include statistics, training, monitoring and reporting on LJMU’s Equality Objectives.

Other sections which relate to these records are [N: Human Resources Management](#).

Abbreviations used in this section:

P&OD – People and Organisational Development

LDF – Leadership and Development Foundation

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
O1	Summary statistical information resulting from equality monitoring.	Current year + 5 years	JISC guidance	P&OD	Confidential
O2	Development and delivery of training on equality and diversity issues and procedures.	Current year + 5 years	JISC guidance	LDF	Confidential
O3	Formal complaints about discrimination by or within LJMU.	Last action on case + 6 years	Limitation Act 1980 c.58 s.2	P&OD	Strictly Confidential
O4	Preparation/revision of LJMU's Equality Objectives.	Superseded + 5 years	JISC guidance	P&OD	Confidential Retaining previous

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
	Assessments of the impact of LJMU's policies and practices on equality for all nine protected characteristics identified by the Equality Act 2010 (i.e. age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation and marriage and civil partnership).				versions provides evidence of compliance and effective management of equality over time.
O5	Preparation of annual reports on the implementation of LJMU's Equality Objectives in compliance with the Equality Act 2010.	Current year + 5 years	JISC guidance	P&OD	Confidential Retaining previous versions provides evidence of compliance and effective management of equality over time.
O6	Monitoring, by racial group, of... - student admission and progress - employee recruitment and career progress	Current year + 5 years	JISC guidance	Academic Registry, P&OD	Strictly Confidential Retaining previous versions provides evidence of compliance and effective management of equality over time.

Records Retention Schedule (Version 1.1)

**P: Finance, Procurement and Insurance Management**

**Approved by:** Belinda McGuinness, Deputy Finance Director

**Date:** 15<sup>th</sup> September 2015

The Finance, Procurement and Insurance Management section of the Records Retention Schedule is split into three sub-sections; finance management, procurement and insurance management. These sub-sections cover various records series in relation to invoices, accounts, grants, budgets, payroll, pensions, accounts, suppliers, tenders and insurance.

Other sections which relate to these records are [N: Human Resources Management](#) and [I: Research](#).

Abbreviations used in this section:

RIS – Research and Innovation Services

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
Finance Management					
P1	Issue of sales invoices and the processing of incoming payments. Receipt and payment of purchase invoices. Handling of petty cash.	Current financial year + 6 years	1970 c. 9 s 34 Limitation Act 1980 c.58 s.5 1994 c. 23 HMRC 700/21 para. 5.2	Finance	Confidential Where Faculties, Schools or Professional Services hold duplicate copies for their own reference, these should not be held for longer than the prescribed retention period for the master documents held by Finance.

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
P2	Payment and/or reimbursement of employees' expenses. Payment of expenses to third parties (e.g. honorary appointees).	Current financial year + 6 years	1970 c. 9 s 34 Limitation Act 1980 c.58 s.5	Finance	Strictly Confidential
P3	Receipt and processing of tuition fees.	Current financial year + 6 years	1970 c. 9 s 34 Limitation Act 1980 c.58 s.5	Finance, Student Administration Services	Confidential See also Student Finance Administration <a href="#">E3</a>
P4	Preparation of annual accounts and LJMU's statutory accounts. Annual Accounts.	Current financial year + 6 years	Limitation Act 1980 c.58 s.5	Finance	Confidential
P5	Analyses of the internal deployment of LJMU's financial resources. Processing of internal accounting transactions between operating units (i.e. cross-charges).	Current financial year + 6 years	Best Practice	Finance	Confidential
P6	Negotiation and administration of formal contracts between operating units (e.g. for the provision of services.)	Termination of contract + 1 year	JISC guidance	Finance	Confidential
P7	Administration of research grants provided by research councils or corporate sponsors.	Termination of grant + 6 years	Limitation Act 1980 c.58 s.5	Finance, RIS	Confidential
P8	Administration of funding from European Structural Funds.	Final closure on the programme + 3 years (see note)	EC No. 1260/1999 Article 38	Finance, RIS	Confidential Documents relating to the implementation and financing of European funded projects must be retained until 3 years after the European Commission makes the final payment

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
					for the programme to the UK. The dates may be changed so it is advisable to retain all documents relating to European funded projects until a Government Office advises that they may be destroyed.
P9	Administration of scholarship funds.	Current financial year + 6 years	Limitation Act 1980 c.58 s.5	Finance, RIS	Confidential
P10	Preparation of annual operating budgets. Monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances.	Current financial year + 5 years	Best Practice	Finance	Confidential
P11	Employees' authorisation for non-statutory payroll deductions.	Current tax year + 6 years	Limitation Act 1980 c.58 s.5	Finance	Confidential
P12	Calculation and payment of employees' salaries and other payments.	Current tax year + 6 years	Taxes Management Act 1970 c. 9 s 34 SI 1999/584 Regulation 38(7) SI 2003/2682	Finance	Strictly Confidential See also P&OD <a href="#">N27</a>

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
			Regulation 97(8)		
P13	Employer's PAYE records which are not required to be sent to the Inland Revenue (under the provisions of the Income Tax (Pay As You Earn) Regulations 2003.	Current tax year + 3 years	SI 2003/2682 Regulation 97(8)	Finance	Confidential See also P&OD <a href="#">N27</a>
P14	Administration of payments made under the Statutory Sick Pay scheme.	Current tax year + 3 years	The Statutory Sick Pay (General) Regulations SI 1982/894 Regulation 13	Finance	Strictly Confidential See also P&OD <a href="#">N29</a>
P15	Administration of payments made under the Statutory Maternity Pay scheme.	Current tax year + 3 years	The Statutory Maternity Pay (General) Regulations SI 1986/1960 Regulation 26	Finance	Strictly Confidential See also P&OD <a href="#">N32</a>
P16	LJMU's relationship with pension schemes to which all or part of its workforce belongs.	Termination of relationship + 5 years	JISC guidance	Finance	Confidential
P17	Payments of LJMU's employers' and employees' contributions to pensions schemes.	Termination of employment + 75 years	Limitation Act 1980 c.58 s.32	Finance	Strictly Confidential
P18	Routine communications with the pension schemes.	Current year + 5 years	JISC guidance	Finance	Strictly Confidential
P19	Preparation and filing of LJMU's tax returns	Current tax year + 6 years	1970 c. 9 s 34	Finance	Confidential



Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
P20	LJMU's accounting for VAT.	Current tax year + 6 years	1994 c. 23 s 58 and Schedule 11, para. 6(3) SI 1995/2518 s 31 HMRC 700/21 para. 5.2	Finance	Confidential
P21	Opening, closure and routine administration of bank accounts.	Closure of account + 6 years	Limitation Act 1980 c.58 s.5	Finance	Confidential
P22	Standing orders, direct debits etc.	Life of instruction + 6 years	Limitation Act 1980 c.58 s.5	Finance	Confidential
P23	Routine bank account deposits/withdrawals/transfers (paying-in slips, transfer instructions, bank statements etc.)	Current financial year + 6 years	1970 c. 9 s 34 Limitation Act 1980c.58 s.5	Finance	Confidential
P24	Overall management of LJMU's financial investment portfolio.	Divestment + 6 years	Limitation Act 1980 c.58 s.5	Finance	Confidential
P25	Purchase/sale of investments. Value of LJMU's capital assets.	Current financial year + 6 years	1970 c. 9 s 34	Finance	Confidential
P26	Decisions (and authorisations) to dispose of capital assets.	Current financial year (of disposal) + 6 years	1970 c. 9 s 34 Limitation Act 1980 c.58 ss. 2 and 5	Finance, Estates and Secretariat	Confidential
<b>Procurement</b>					
P27	Supplier evaluation criteria.	Superseded + 5 years	JISC guidance	Finance	Confidential
P28	Invitations to prospective suppliers to apply for approval.	Expiry of invitation OR Rejection of	JISC guidance	Finance	Confidential

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
		application + 6 months OR Completion of approval			
P29	Evaluation of applications for approval from prospective suppliers, and notification of the outcome: approved suppliers.	Termination of approval	JISC guidance	Finance	Confidential
P30	Evaluation of applications for approval from prospective suppliers, and notification of the outcome: rejected suppliers.	Rejection + 1 year	JISC guidance	Finance	Confidential
P31	Supplier database	While current	JISC guidance	Finance	Confidential
P32	Process of inviting and evaluating pre-qualification submissions from prospective suppliers.	Award of supply contract + 1 year	JISC guidance	Finance	Confidential
P33	Invitations to Tender and tender evaluation criteria.	Termination of supply contract awarded + 6 years	Limitation Act 1980 c.58 s. 5	Finance	Confidential
P34	Issue of Invitations to Tender and handling of incoming tenders.	Award of supply contract + 1 year	JISC guidance	Finance	Confidential
P35	Evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: rejected tenders.	Award of supply contract + 1 year	JISC guidance	Finance	Confidential
P36	Evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: accepted tenders.	Termination of contract + 6 years	Limitation Act 1980 c.58 s. 5	Finance	Confidential

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
P37	Contract award notices sent to the Official Journal, as required by Regulation 31 of the Public Contracts Regulations 2006 (SI 2006/5).	Termination of contract + 6 years	Limitation Act 1980 c.58 s. 5	Finance	Confidential
P38	Contracts awarded, containing the information specified in Regulation 32 (14) of the Public Contracts Regulations 2006 (SI 2006/5).	Termination of contract + 10 years	Limitation Act 1980 c.58 s. 5	Finance	Confidential These are summary records of each contract awarded and retention of these for a longer period than the complete contract 'files' provides evidence of effective and compliant procurement practice over time.
P39	Statistical and other reports on contracts awarded prepared for the Office of Government Commerce, as required by Regulation 40 of the Public Contracts Regulations 2006 (SI 2006/5)	Current year + 3 years	JISC guidance	Finance	Confidential
P40	Variations to contracts (e.g. revisions, extensions). Monitoring of supplier performance and action taken regarding under-performance.	Termination of contract + 6 years	Limitation Act 1980 c.58 s. 5	Finance	Confidential
P41	Purchasing authorisation limits.	Superseded + 1 year	JISC guidance	Finance	Confidential
P42	Internal authorisation for procurement.	Current financial year + 1 year	JISC guidance	Finance	Confidential

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
P43	Purchase Orders. Goods Received Notes/Goods Inwards Notes.	Current financial year + 6 years	Limitation Act 1980 c.58 s. 5. HMRC 700/21 para. 5.2	Finance	Confidential Where Faculties, Schools or Professional Services hold duplicate copies for their own reference, these should not be held for longer than the prescribed retention period for the master documents held by Finance.
<b>Insurance Management</b>					
P44	Arrangement and renewal of insurance policies: - employers' liability insurance. - all other insurance.	Expiry of policy + 6 years	Limitation Act 1980 c.58 s. 5	Finance	Confidential
P45	Employers' Liability Insurance Certificates.	Commencement/Renewal of policy + 40 years	SI 1998/2573 Regulation 4(4)	Finance	Confidential
P46	Claims, and the outcomes of claims, against insurance policies.	Settlement of claim + 6 years	Limitation Act 1980 c.58 s. 5	Finance	Strictly Confidential

Records Retention Schedule (Version 1.1)

**Q: ICT Systems Management**

**Approved by:** Mark Wynne, Assistant Director, Information Technology Services

**Date:** 8<sup>th</sup> September 2015

The ICT Systems Management section of the Records Retention Schedule covers various records series in relation to the management IT systems. These include records about ICT system monitoring, fault reporting, software licences and IT equipment.

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
Q1	Management of ICT systems development projects (i.e. project management records).	System decommission + up to 5 years	Best Practice	IT Services	Confidential
Q2	Routine monitoring and testing of the operation of ICT systems, and action taken to rectify problems and optimise performance.	Current year + 1 year	JISC guidance	IT Services	Confidential
Q3	Faults reported by users of ICT systems, and action taken to investigate and resolve the problem.	Last action on fault + 4 years	Best Practice	IT Services	Confidential
Q4	Management of system data storage, including the operation of routine data backup, archiving and deletion routines.	Lifetime of data + up to 2 years	Best Practice	IT Services	Confidential

Records Retention Schedule (Version 1.1)

<b>Ref</b>	<b>Record Type</b>	<b>Retention Period</b>	<b>Guidance for retention period/legal reference</b>	<b>Responsibility</b>	<b>Classification/Notes</b>
Q5	User requests to recover data from backup or archive stores, and action taken.	Last action on request + 4 years	Best Practice	IT Services	Confidential
Q6	Maintenance of appropriate software licences for live ICT systems.	Lifetime of product + up to 1 year	Best Practice	IT Services	Confidential
Q7	Opening, maintenance and closure of user accounts for ICT systems.	Closure of account + 1 year	JISC guidance	IT Services	Confidential
Q8	Routine monitoring of the use of ICT systems to ensure compliance with legal requirements and LJMU policies.	Current year + up to 90 days	Best Practice	IT Services	Confidential
Q9	Requests for, and authorisation of, third party equipment to LJMU's networks, either on institutional premises or via dial-up communication links.	Termination of connection + 4 years	JISC guidance	IT Services	Confidential
Q10	Arrangements for the sanitisation of institutional ICT equipment prior to disposal.	Disposal of equipment + 1 year	JISC guidance	IT Services	Confidential
Q11	Stock inventory for IT equipment.	At point of disposal + 4 years	Best practice	IT Services	Confidential

**R: Estates and Facilities Management**

**Approved by:** Colin Davies, Director, Estate Management

**Date:** 4<sup>th</sup> September 2015

The Estates and Facilities Management section of the Records Retention Schedule covers various records series in relation to the management of estates and facilities issues. These include records about properties, maintenance, lifting operations and regulations and security.

Other sections which relate to these records are [L: Health and Safety Management](#).

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
R1	Acquisition of ownership of properties. Disposal of properties by sale, transfer or donation.	Disposal of property + 12 years	Limitation Act 1980 c.58 s.8	Estates	Confidential This retention period assumes that property contracts are executed as deeds. For other types of contracts, the retention period may be 6 years rather than 12 years.
R2	Deeds of title for properties owned by LJMU.	Disposal of property	Limitation Act 1980 c.58 s.8	Estates	Confidential Deeds of title for a property are transferred to the new owner when the property is sold.

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
R3	Negotiation of leases and original lease agreements.	Expiry of lease + 15 years	Limitation Act 1980 c.58 S. 14B	Estates	Confidential
R4	Leasing-out arrangements for properties.	Expiry of lease + 12 years	Limitation Act 1980 c.58 s.8	Estates	Confidential This retention period assumes that leases are executed as deeds. For other types of contracts, the retention period may be 6 years rather than 12 years.
R5	Specification of requirements for facilities. Development of interior design/decoration and fitting-out schemes and works.	Completion of works + 15 years	Limitation Act 1980 c.58 s.14	Estates	Confidential
R6	Development of properties. Major maintenance works on property/facilities.	Disposal of property, or completion of works + 15 years, whichever is longer.	JISC guidance Limitation Act 1980 c.58 s.14B	Estates	Confidential Some of these records may be transferred to the new owner when property is sold.
R7	Minor maintenance works on property/facilities.	Completion of works + 15 years	Limitation Act 1980 c.58 S. 14B	Estates	Confidential
R8	Health and Safety File for a structure, as required by Regulation 14(d) of the Construction (Design and	Demolition of property OR Disposal of interest in property	SI 2007/320 Regulation 17	Estates	Confidential SI 2007/320 does not prescribe a retention period for these records



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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
	Management) Regulations 2007 (SI 2007/320).				but Regulation 17 implies that the Health and Safety File for a structure should be retained for the life of the structure by the person responsible for the property. Regulation 17(4) requires that a Health and Safety File is transferred to the new owner when ownership transfers.
R9	Applications for planning consents required to (re)develop property and consents granted.	Disposal of property or expiry of consent.	JISC guidance	Estates	Confidential Planning consents which are valid when a property is sold are transferred to the new owner.
R10	Routine inspections of property/facilities	Date of inspection + 5 years	JISC guidance	Estates	Confidential Retaining inspection records provides evidence of effective property management.
R11	Conduct and outcomes of inspections of facilities by enforcing authorities.	Completion of subsequent inspection	JISC guidance	Estates	Confidential A longer retention period may be advisable for particular types of facilities (e.g. where there are significant health and safety risks) in order to maintain evidence of

Records Retention Schedule (Version 1.1)

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
					effective management over time.
R12	Conduct and outcomes of space audits.	Completion of subsequent audit + 5 years	JISC guidance	Estates	Confidential
R13	Assessments made to determine the presence (or likely presence) of asbestos in premises, as required by Regulation 4(3) of the Control of Asbestos Regulations 2012 (SI 2012/632).	Review of assessment + 10 years	JISC guidance	Estates	Confidential Retaining assessments provides evidence of effective management of risks associated with works carried out.
R14	Monitoring of the condition of asbestos in premises, and of maintaining or removing it.	Removal of asbestos + 10 years OR Subsequent inspection + 10 years	JISC guidance	Estates	Confidential
R15	Reports of pre-commissioning examinations of lifting equipment, as required by Regulation 9(1) and 9(2) of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Decommissioning	SI 1998/2307 Regulation 11(2)(a)(i) and 11(2)(a)(iii)	Estates	Confidential
R16	Reports of pre-commissioning examinations of accessories for lifting, as required Regulation 9(1) of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Date of report + 2 years	SI 1998/2307 Regulation 11(2)(a)(ii)	Estates	Confidential

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
R17	Inspections of equipment, made under Regulation 6 of the Provision and Use of Work Equipment Regulations 1998 (SI 1998/2306).	Completion of subsequent inspection	SI 1998/2306 Regulation 6(3)	Estates	Confidential
R18	Reports of inspection and 'thorough examination' of lifting equipment, as required by Regulation 9 of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Date of subsequent report OR Date of report + 2 years, whichever is the later	SI 1998/2307 Regulation 11(2)(a)(iv)	Estates	Confidential
R19	Conduct and results of security inspections of properties/facilities, and action taken to address issued raised.	Completion of two subsequent inspections	JISC guidance	Estates	Confidential
R20	Property access controls to secure areas (e.g. access registers, key registers, security data logs).	Creation + 2 years	JISC guidance	Estates	Confidential
R21	Car Parking Permits	Termination of employment	Best Practice	Security	Confidential
R22	Security passes issued to visitors	Expiry of pass + 1 month	JISC guidance	Estates	Confidential
R23	Security passes issued to employees, other staff and students.	Expiry of pass + 1 year	JISC guidance	Estates	Confidential
R24	Conduct of routine security surveillance (including CCTV) of properties/facilities.	Creation + 1 month	JISC guidance	Estates	Confidential
R25	Security breaches, unauthorised access to facilities or incidents, and action taken.	Last action on incident + 1 year	JISC guidance	Estates	Strictly Confidential
R26	Original licences and certificates	Superseded	JISC guidance	Estates	Strictly Confidential
R27	PAT testing records	Disposal of item + 1 year	JISC guidance	Estates	Confidential

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**S: Environmental Management**

**Approved by:** Colin Davies, Director, Estate Management

**Date:** 4<sup>th</sup> September 2015

The Environmental Management section of the Records Retention Schedule covers various records series in relation to the management of environmental and sustainability issues. These include energy usage, environmental impacts, legal records, environmental management schemes, training and procedures.

Other sections which relate to these records are [L: Health and Safety Management](#).

Abbreviations used in this section:

EMS – Environmental Management System

P&OD – People and Organisational Development

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
S1	Internal Environmental Audits of any aspect of the EMS. Management review records are secondary to this following the internal audit, including action taken to address issues identified.	Completion of audit + 5 years	JISC Guidance	Estates	Confidential
S2	Routine monitoring of LJMU's use and consumption of energy.	From baseline of either 1990 or 2005.	Best Practice	Estates	Confidential

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
S3	Conduct and results of formal reviews of LJMU's use and consumption of energy, and action taken to address issues raised.	Current year + 5 years	JISC guidance	Estates	Confidential
S4	Baseline environmental review of LJMU and Environmental Impacts Register. To include environmental history of site (and any details of previous accidents or incidents occurring and conduct and results of risk assessments). Recording and investigations environmental incidents.	Elimination of risk + 5 years OR Updating of risk assessment + 5 years  Recording of incidents - Last action on incident + 40 years  Investigation of incidents - Closure of investigation + 40 years	JISC guidance	Estates	Confidential
S5	Notification and reporting of reportable environmental incidents to enforcing authorities.	Date of notification + 5 years	JISC guidance	Estates	Confidential
S6	Environmental stakeholder log – identification of stakeholders plus all relevant correspondence, including complaints and feedback.	Current year + 3 years	EMS general guidance	Estates	Confidential
S7	Environmental legal register – all relevant legislation, regulations and requirement. Responsible persons to be identified. Controls identified. Consequences of non-compliance	Current year + 3 years	EMS general guidance	Estates	Confidential

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
	listed. Outline evaluation of compliance procedure for periodically reviewing and updating accordingly.				
S8	Legal records: emissions and discharges consents, exemption certificates, environmental permits.	Current year + 3 years	EMS general guidance	Estates	Confidential
S9	Register of 'special waste' removed from the premises for disposal by registered/licensed contractors, as required by Regulation 15 of the Special Waste Regulations 1996 (SI 1996/972). Hazardous waste to be disposed of, as required by Regulation 49 of the Hazardous Waste (England and Wales) Regulations 2005 (SI 2005/894).	Removal of waste + 3 years	SI 1996/972 Regulation 15(4)  SI 2005/894 Regulation 49(3)	Estates	Confidential SI 2005/894 repealed SI 1996/972 but SI 2005/894 Regulation 51(4) requires registers made under SI 1996/972 Regulation 15(4) to be retained for the period specified here. SI 2005/894 Regulation 49(1) specifies the content of these records.
S10	Attainment and maintenance of LJMU's accreditation under established environmental management schemes (e.g. Eco Campus; Carbon Trust Standard; Display Energy Certificates).	Termination of accreditation + 1 year	JISC guidance	Estates	Confidential
S11	List of objectives and targets pertaining to sustainability and environmental management. Includes both mandatory and non-mandatory targets.	Superseded + 10 years	Best Practice	Estates	Confidential

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
S12	Environmental Management Programme (outlines how objectives and targets are met). See <a href="#">S11</a>	Superseded + 10 years	Best Practice	Estates	Confidential
S13	Roles and Responsibilities register (with regards establishing, implementing, maintaining and monitoring the EMS). Including finalised management structure.	Termination of role + 5 years	JISC guidance	Estates, P&OD	Confidential
S14	Competence and Training register, plan and evaluative analysis to identify training needs across the university with regards environmental aspects.	Current year + 5 years	JISC guidance	Estates	Confidential
S15	Operational control procedures on areas where activities could have an effect on the environment, including overview of operation control (what, when and how); and authorised persons.	Superseded + 10 years	Best Practice	Estates	Confidential
S16	Environmental emergency response procedure. Including identified risks, responses, mitigation measures, and outline of review and testing procedure, also all records from procedure test drills.	Superseded + 10 years  Last action on event + 10 years  Retain for longer depending on gravity of incident, for legacy	JISC guidance	Estates, Health and Safety Unit	Confidential



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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
		and evidence purposes.			
S17	Documentation procedure, including overview of document control; records of changes made; authorised persons; and method for making changes to documents.	Current + 3 years	EMS general guidance	Estates	Confidential
S18	EMS Manual – for explaining the core elements of the EMS, their interaction, and institutional co-ordination.	Superseded + 3 years	EMS general guidance	Estates	Confidential
S19	Action taken by LJMU to raise awareness of environmental issues among its employees, other staff and students. Including records of communication between EMS team and senior management.	Current + 5 years	JISC guidance	Estates	Confidential

Records Retention Schedule (Version 1.1)

**T: Legal Management**

**Approved by:** Maria Burquest, Director, Legal and Governance Services

**Date:** 18<sup>th</sup> August 2015

The Legal Management section of the Records Retention Schedule covers various records series in relation to management of legal affairs. These include contracts, litigation and legal advice.

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
T1	Negotiation, establishment and review of contracts and agreements between LJMU and third parties: agreements and contracts under seal (by deed).	Termination of contract + 12 years	Limitation Act 1980 c.58 s.8	Legal Services	Confidential
T2	Negotiation, establishment and review of contracts and agreements between LJMU and third parties: other contracts and agreements.	Termination of contract + 6 years	Limitation Act 1980 c.58 s.5	Legal Services	Confidential
T3	Provision of legal support and representation for LJMU in dealing with claims by or against the institution which do not proceed to litigation or settle by means of an agreement.	Settlement of claim + 6 years OR Withdrawal of claim + 6 years	Limitation Act 1980 c.58 ss. 2 and 5	Legal Services	Confidential
T4	Litigation between LJMU and third parties where legal precedents are set.	Life of institution	JISC guidance	Legal Services	Confidential

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<b>Ref</b>	<b>Record Type</b>	<b>Retention Period</b>	<b>Guidance for retention period/legal reference</b>	<b>Responsibility</b>	<b>Classification/Notes</b>
T5	Litigation between LJMU and third parties which does not set legal precedents.	Settlement of case + 6 years	Limitation Act 1980 c.58 ss. 2 and 5	Legal Services	Confidential
T6	Legal advice requested by, and provided to, LJMU concerning e.g.: - interpretation of legislation affecting LJMU's legal framework, governance, responsibilities or operations - proposals for new legislation affecting LJMU's legal framework, governance, responsibilities or operations - LJMU's relationships with government bodies and HE regulators - industrial relations issues - health, safety and environmental issues	Life of institution	JISC guidance	Legal Services	Confidential
T7	Legal advice on other matters requested by, and provided to, LJMU.	Superseded + 6 years	Best Practice	Legal Services	Confidential

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**U: Information Compliance and Records Management**

**Approved by:** Denise Tipping, Manager, Secretariat

**Date:** 18<sup>th</sup> September 2015

The Information Compliance and Records Management section of the Records Retention Schedule covers various records series in relation to information and records management. These include data protection and freedom of information requests and LJMU's records.

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
U1	LJMU's notification of data controller details (to be added to the public register of data controllers) to the Information Commissioner's Office, as required by s 2 of the Data Protection Act 1998.	Current year + 1 year (Annual renewal of notification to maintain entry in public register of data controllers)	JISC guidance	Secretariat	Public
U2	Requests for access to personal information held by LJMU under the Data Protection Act 1998.	Last action on file + 1 year [6 years where request linked to staff grievance and/or disciplinary or student complaint]	Best practice	Secretariat	Strictly Confidential
U3	Statistics (anonymised), analyses and reports of requests for access to personal information held by LJMU	Current year + 10 years	JISC guidance	Secretariat	Confidential

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
	under the Data Protection Act 1998 (c. 29)				
U4	Development and maintenance of LJMU's Publication Scheme, as required by the Freedom of Information Act 2000 (c. 36).	Completion of revision of Publication Scheme + 5 years	JISC guidance	Secretariat	Open
U5	Requests for... - information held by LJMU, made under the Freedom of Information Act 2000 (c. 36). - environmental information held by LJMU, made under the Environmental Information Regulations 2004 (SI 2004/3391).	Completion of request process + 3 years [6 years where request linked to staff grievance and/or disciplinary or student complaint]	National Archives recommendation	Secretariat	Strictly Confidential
U6	Responses to requests for information held by LJMU made under the... - Freedom of Information Act 2000 (c.36). - Environmental Information Regulations 2004 (S I2004/3391)	Completion of request process + 3 years [6 years where request linked to staff grievance and/or disciplinary or student complaint]	National Archives recommendation	Secretariat	Public
U7	Management statistics (anonymised), analyses and reports of requests for... - information held by LJMU, made under the Freedom of Information Act 2000 (c. 36). - environmental information held by LJMU, made under the Environmental	Current year + 10 years	Records created by a public body fulfilling its obligations under the Freedom of Information Act	Secretariat	Confidential

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
	Information Regulations 2004 (SI 2004/3391).		2000 (The National Archives).		
U8	Files relating to data security breaches	Last action on file + 6 years	Best Practice	Secretariat	Strictly Confidential
U9	Data security breach log	Current year + 10 years	Best Practice	Secretariat	Confidential
U10	Records Retention Schedules	Permanent	JISC guidance	Secretariat	Public Retaining a history of retention periods provides evidence of effective control of records and the basis for disposal of records.
U11	Records destruction logs.	Disposal of records + 25 years	JISC guidance	Secretariat, Faculties, Schools, Professional Services	Confidential
U12	Conduct and results of records surveys/audits.	Completion of subsequent survey/audit	JISC guidance	Secretariat	Confidential This retention period assumes that the purpose and scope of the subsequent audit is comparable. If it is not, a longer retention period may be appropriate.

Records Retention Schedule (Version 1.1)

**V: Corporate Relations and Fundraising**

**Approved by:** Janet Martin, Director of Corporate Communications and Stakeholder Relations

**Date:** 4<sup>th</sup> September 2015

The Corporate Relations and Fundraising section of the Records Retention Schedule is split into three sub-sections; public/community/media relations management, HE/FE sector relations management and fundraising. These sub-sections cover various records series in relation to enquiries, events, media, communications, fundraising and donations.

Other sections which relate to these records are [H: Alumni Relations Management](#).

Abbreviations used in this section:

CCSR – Corporate Communications and Stakeholder Relations

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
Public/Community/Media Relations Management					
V1	Enquiries from members of the public/local community and the responses provided.	Last action on enquiry + 1 year	JISC guidance	CCSR	Confidential
V2	Complaints from members of the public/local community, the internal handling of these complaints and the responses provided.	Last action on complaint + 1 year	JISC guidance	CCSR	Confidential

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
V3	Planning and impact/results of public/local community/HE sector events.	Completion of event + 3 years	JISC guidance	CCSR	Confidential
V4.	Organisation and administration of public/local community/HE sector events/official visits	Completion of event + 1 year	JISC guidance	CCSR	Confidential
V5	LJMU's membership of (local community) organisations.	Termination of membership + 1 year	JISC guidance	CCSR	Confidential
V6	LJMU's participation in the activities of local community/external organisations (including committees).	Termination of involvement + 1 year	JISC guidance	CCSR	Confidential
V7	Arrangements for corporate sponsorship of public events by LJMU.	Termination of sponsorship + 6 years	Limitation Act 1980 c.58 s. 5	CCSR, World of Work Careers Centre	Confidential
V8	Management of the institution's relationship with donors to LJMU (other than in response to fundraising campaigns).	Duration of relationship + 6 years	Limitation Act 1980 c.58 s. 5	CCSR	Confidential
V9	Process of making donations to third parties.	Last action on donation + 6 years	Limitation Act 1980 c.58 s. 5	CCSR	Confidential
V10	LJMU's media contacts.	Superseded	JISC guidance	CCSR	Confidential
V11	Transcripts of media briefings/interviews.	Date of briefing/ interview + 5 years	JISC guidance	CCSR	Confidential
V12	Press Releases Monitoring and analysis of media coverage of LJMU.	Current year + 5 years	JISC guidance	CCSR	Open



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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
V13	Media enquiries, the internal handling of these enquiries and responses provided.	Last action on enquiry + 3 years	JISC guidance	CCSR	Confidential
V14	Press cuttings	Creation + 1 year	JISC guidance	CCSR	Confidential
<b>HE/FE Sector Relations Management</b>					
V15	LJMU's general communications with other HE/FE institutions, other educational institutions, professional associations and learned bodies.	Current year + 5 years	JISC guidance	Faculties, Schools, Professional Services	Confidential
V16	LJMU's formal responses to consultations conducted by HE/FE sector organisations.	Last action on consultation + 3 years	JISC guidance	Faculties, Schools, Professional Services	Confidential
V17	Preparation and submission of reports to HE/FE regulatory bodies.	Submission of report + 3 years	JISC guidance	Academic Registry, Finance, Student Recruitment and Admissions, Estates, Secretariat	Confidential
V18	Establishment of formal contractual relationships between LJMU and other HE/FE institutions.	Termination of contractual relationship + 6 years	Limitation Act 1980 c.58 s. 5	Academic Partnerships	Confidential
<b>Fundraising</b>					
V19	Conduct and summary results of fundraising campaigns.	Last action on campaign + 5 years	JISC guidance	CCSR	Confidential
V20	Enquiries about making donations to LJMU.	Last action on enquiry + 1 year	JISC guidance	CCSR	Confidential
V21	Donations to LJMU.	Current year + 5 years	JISC guidance	CCSR	Strictly Confidential A shorter/longer period may be appropriate for

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
					small/substantial donations.

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**W: Policy, Strategy and Quality Management**

**Approved by:** Caroline Robson, Director, Strategic Planning

**Date:** 23<sup>rd</sup> September 2015

The Policy and Strategy section of the Records Retention Schedule covers various records series in relation to policies and strategies and performance indicators.

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
W1	LJMU's university wide strategies, policies and procedures.	Superseded + 10 years	JISC guidance	Secretariat	Open
W2	Data on, analyses of and reports on LJMU's performance against its strategic plan.	Current academic year + 5 years	Best Practice	Strategy Support Office	Confidential
W3	Development of LJMU's key performance indicators.	Superseded + 5 years	Best Practice	Strategy Support Office	Confidential
W4	Performance monitoring, usage statistics and analysis.	Current year + 5 years	JISC guidance	Strategy Support Office, Faculties, Schools, Professional Services	Confidential
W5	Gifts and Hospitality Register.	Current year + 6 years	Limitation Act 1980 c.58 s. 5	Faculties, Schools, Professional Services	Confidential

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<b>Ref</b>	<b>Record Type</b>	<b>Retention Period</b>	<b>Guidance for retention period/legal reference</b>	<b>Responsibility</b>	<b>Classification/Notes</b>
W6	Conduct and results of quality audits, and action taken to address issues raised.	Completion of audit + 5 years	Best Practice	Academic Registry	Confidential
W7	Attainment and maintenance of LJMU's accreditation under established independent quality management schemes.	Termination of accreditation + 1 year	JISC guidance	Academic Registry	Confidential

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**X: Risk and Audit**

**Approved by:** Caroline Robson, Director, Strategic Planning

**Date:** 23<sup>rd</sup> September 2015

The Risk and Audit section of the Records Retention covers various records series in relation to risk management, quality management and audit.

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
<b>Risk Management</b>					
X1	Identified risks to LJMU and assessments of those risks. Formulation, testing and maintenance of disaster response and recovery plans.	Superseded + 1 year	JISC guidance	Strategy Support Office	Confidential
<b>Audit</b>					
X2	Conduct and results of audits, and action taken to address issues raised.	Completion of audit + 5 years	JISC guidance	Legal & Governance Services	Confidential

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**Y: Governance**

**Approved by:** Denise Tipping, Manager, Secretariat

**Date:** 18<sup>th</sup> September 2015

The Governance section of the Records Retention Schedule covers various records series in relation to the governance of LJMU and committees/groups. These include the Board of Governors and related committees, the committees within the LJMU committee structure and other committees and groups.

In relation to the committee information in table below the Board of Governors and related committees consists of:

- Board of Governors
- Audit Committee
- Employment Committee
- Finance Committee
- Nominations Committee
- Remuneration Committee
- Academic Board
- Copperas Hill Steering Group

Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
Y1	Establishment and development of LJMU's: - legal framework - governance structure and rules	Life of institution	JISC guidance	Secretariat	Public

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
Y2	Terms of reference, and the rules and procedures, for <b>Board of Governors &amp; related committees</b> .	Superseded + 5 years	Best Practice	Secretariat	Public Retaining previous versions provides evidence of effective management over time.
Y3	Appointment/election/designation of members of <b>Board of Governors &amp; related committees</b> .	Termination of appointment + 6 years	Limitation Act 1980 c.58 s.5	Secretariat	Public
Y4	Development of induction and training programmes for members of <b>Board of Governors &amp; related committees</b> .	Superseded + 5 years	JISC guidance	Secretariat	Confidential Retaining previous versions provides evidence of effective induction and training over time.
Y5	Conduct of the business of <b>Board of Governors &amp; related committees</b> : minutes and supporting papers.	Life of institution	JISC guidance	Secretariat	Public However, some information is restricted and held as Strictly Confidential.
Y6	Conduct of reviews of the effectiveness and performance of <b>Board of Governors &amp; related committees</b> .	Completion of two subsequent reviews	JISC guidance	Secretariat	Public Retaining records of previous reviews provides evidence of effective monitoring over time, as well as compliance with regulatory requirements/recommendations to undertake reviews.

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Ref	Record Type	Retention Period	Guidance for retention period/legal reference	Responsibility	Classification/Notes
Y7	Register of interests of members of LJMU's governing body and senior management.	Termination of appointment + 6 years	Limitation Act 1980 c.58 s.5	Secretariat	Public
Y8	Conduct of the business of Award Boards and Research Degrees Committee: minutes and papers.	Indefinitely	Best Practice	Faculties, Schools, Graduate School	Strictly Confidential
Y9	Terms of reference, and the rules and procedures, for all other committees/panels/groups not referred to elsewhere within this schedule.	Superseded + 1 year	Limitation Act 1980 c.58 s.5	Secretariat, Committee/panel/group Chairs and Secretaries	Confidential
Y10	Appointment/election/designation of members of all other committees/panels/groups not referred to elsewhere within this schedule.	Superseded	Limitation Act 1980 c.58 s.5	Committee/panel/group Chairs and Secretaries	Open
Y11	Conduct of the business of all other committees/panels/ groups not referred to elsewhere within this schedule: minutes and supporting papers.	Current year + 5 years	Best Practice	Committee/panel/group Chairs and Secretaries	Confidential However, redacted information may be made publicly available.