

## 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

**First Published:** October 2015

**Current version:** 1.1

**Date current version published:** August 2016

**Approved by:** See each section for approving authority

**Due for review:** March 2017

**Contents**

|  |         |
|--|---------|
| <a href="#"><u>Introduction</u></a>                                      | Page 5  |
| <a href="#"><u>A: Programme Administration (taught programmes)</u></a>   | Page 9  |
| <a href="#"><u>B: Programme Administration (research programmes)</u></a> | Page 15 |
| <a href="#"><u>C: Student Recruitment</u></a>                            | Page 18 |
| <a href="#"><u>D: Student Administration and Services</u></a>            | Page 20 |
| <a href="#"><u>E: Student Finance Administration</u></a>                 | Page 23 |
| <a href="#"><u>F: Award Administration</u></a>                           | Page 25 |
| <a href="#"><u>G: Student Governance</u></a>                             | Page 26 |
| <a href="#"><u>H: Alumni Relations Management</u></a>                    | Page 28 |
| <a href="#"><u>I: Research</u></a>                                       | Page 30 |
| <a href="#"><u>J: Consultancy</u></a>                                    | Page 35 |
| <a href="#"><u>K: Intellectual Property Rights Management</u></a>        | Page 37 |
| <a href="#"><u>L: Health and Safety Management</u></a>                   | Page 39 |
| <a href="#"><u>M: Occupational Health</u></a>                            | Page 53 |

## Records Retention Schedule (Version 1.1)

|   |         |
|---|---------|
| <a href="#"><u>N: Human Resources Management</u></a>                    | Page 56 |
| <a href="#"><u>O: Equality and Diversity Management</u></a>             | Page 65 |
| <a href="#"><u>P: Finance, Procurement and Insurance Management</u></a> | Page 67 |
| <a href="#"><u>Q: ICT Systems Management</u></a>                        | Page 75 |
| <a href="#"><u>R: Estates and Facilities Management</u></a>             | Page 77 |
| <a href="#"><u>S: Environmental Management</u></a>                      | Page 82 |
| <a href="#"><u>T: Legal Management</u></a>                              | Page 87 |
| <a href="#"><u>U: Information Compliance and Records Management</u></a> | Page 89 |
| <a href="#"><u>V: Corporate Relations and Fundraising</u></a>           | Page 92 |
| <a href="#"><u>W: Policy, Strategy and Quality Management</u></a>       | Page 95 |
| <a href="#"><u>X: Risk and Audit</u></a>                                | Page 97 |
| <a href="#"><u>Y: Governance</u></a>                                    | Page 98 |

## 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.

## Records Retention Schedule (Version 1.1)

- 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

## Records Retention Schedule (Version 1.1)

- 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](#)

## Records Retention Schedule (Version 1.1)

- [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:

Carol Swaisland, Executive Assistant (Governance and Records Management)

[c.a.swaisland@ljmu.ac.uk](mailto:c.a.swaisland@ljmu.ac.uk)

0151 231 3186 or

[secretariat@ljmu.ac.uk](mailto:secretariat@ljmu.ac.uk)



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<br>Background papers until completion of subsequent approval/ | JISC guidance                                 | AQS, Programme teams | Confidential         |

Records Retention Schedule (Version 1.1)

| 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.<br>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         |

Records Retention Schedule (Version 1.1)

| 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.<br><br>For UKVI requirements, students on tier 4 VISAs – end of relationship with LJMU + 1 year. | Best Practice                                 | Schools, Programme teams   | Confidential          |

Records Retention Schedule (Version 1.1)

| 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.<br><br>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.<br><br>If assessments are to be kept longer as exemplars, | JISC guidance<br><br>Best Practice            | Schools, Programme teams      | Confidential                                       |

Records Retention Schedule (Version 1.1)

| 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<br>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<br>Personal tutors | Confidential  |
| A21 | Records documenting the...<br>- transfer of individual students to new programmes or to new modules within programmes.<br>- withdrawal of individual students from LJMU.<br>- 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  |

Records Retention Schedule (Version 1.1)

| 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...<br>- selection and appointment of<br>- 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.<br>Timetabling of examinations.<br>Organisation of examination facilities, including special arrangements for students with special needs.<br>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.<br>Issue of awards lists.   | Current academic year + 1 year | JISC guidance                                 | Automatically stored in the Virtual Learning Environment (VLE) | Confidential<br>See <a href="#">F1</a> for individual notifications of awards  |
| A29 | Awards lists  | Issue of list + 6 years        | Best Practice                                 | Academic Registry  | Confidential<br>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<br>See <a href="#">Y8</a> for minutes of Award Boards             |

## Records Retention Schedule (Version 1.1)

Records Retention Schedule (Version 1.1)

**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         |



Records Retention Schedule (Version 1.1)

| 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...<br>- transfer of individual students to new programmes.<br>- withdrawal of individual students from LJMU.<br>- termination of individual students' programmes.    | Termination of relationship with student + 6 years | Limitation Act 1980 c.58 s.5                  | Graduate School, Academic Registry                     | Confidential          |

Records Retention Schedule (Version 1.1)

| 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<br>See <a href="#">Y8</a> for minutes of Research Degrees Committee. |

Records Retention Schedule (Version 1.1)

**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         |

Records Retention Schedule (Version 1.1)

| 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         |

## Records Retention Schedule (Version 1.1)

### 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         |

Records Retention Schedule (Version 1.1)

| 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<br>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<br>All other subject areas – end of relationship with LJMU + 6 years          | Best Practice<br><br>Limitation Act 1980 c.58 | Schools   | Confidential<br>N.B. different retention periods for different subject areas |
| D9  | Individual students' requests for statements of results/transcripts.<br>Requests for confirmation of individual students' awards, attendance or | Last action on request + 1 year   | JISC guidance                                 | Academic Registry, SAS, Faculties, Schools      | Confidential   |

Records Retention Schedule (Version 1.1)

| 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<br>Data Protection Act 1988 | SAW            | Strictly Confidential |

Records Retention Schedule (Version 1.1)

**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<br>These are records documenting the collection/receipt of fees only. For financial records documenting the receipt |



Records Retention Schedule (Version 1.1)

| 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...<br>- financial aid<br>- crisis/hardship payments<br>- bursaries<br>- scholarships and fellowships<br>...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.<br>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  |

Records Retention Schedule (Version 1.1)

**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 |

Records Retention Schedule (Version 1.1)

**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...<br>- disciplinary proceedings against individual students, Criminal Convictions Panels, Fitness to Study Panels.<br>- 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 |

Records Retention Schedule (Version 1.1)

| 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 |

Records Retention Schedule (Version 1.1)

**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<br>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).<br>Negotiation and agreement of contracts and schedule of work and fees, and subsequent variations to contract.<br>Project deliverables/outcomes. |                                   |   | Services, RIS, Legal Services                  |                                    |
| J4  | Management of consultancy and contract research projects.<br>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<br>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<br>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...<br>- safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 SI 1977/500).<br>- 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...<br>- safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).<br>- 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<br>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...<br>- 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).<br>- 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).<br>- asbestos, to fulfil LJMU's duties under Regulation 10 of the Control of Asbestos Regulations 2006 (SI 2006/2739).<br>- 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<br>Retaining previous records provides evidence of compliance and effective management of H&S over time.<br>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<br>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<br>Retaining previous versions provides evidence of compliance and effective management of H&S over time.<br>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<br>See also P&OD <a href="#">N35</a>  |
| L15 | Maintenance, examination and use of equipment provided to control exposure to...<br>- noise, to fulfil LJMU's duties under Regulation 8 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).<br>- 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).<br>- asbestos, to fulfil LJMU's duties under Regulation 13 of the Control of Asbestos Regulations 2006 (SI 2006/2739).<br>- 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<br><br>SI2005/1643<br>Regulation 8<br><br>SI 2002/2677<br>Regulation 9(4)<br><br>SI 2006/2739<br>Regulation 13(3) | Estate Management, Faculties, Professional Services | Confidential<br>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<br>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...<br>- 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).<br>- 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)<br><br>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...<br>- 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).<br>- 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<br>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...<br>- 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).<br>- 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<br>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).<br>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<br>Regulation 10(2)<br>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)<br><br>SI 1993/2113 Regulation 2 | H&SU, Occupational Health              | Strictly Confidential<br>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<br>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<br>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<br>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).<br>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).<br>Records documenting the conduct and | Current year + 5 years       | JISC guidance                                 | H&SU                                   | Confidential<br>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<br>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<br>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<br>Superseded + 5 years | JISC guidance                                 | H&SU                    | Confidential<br>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<br>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<br>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...<br>- substances hazardous to health.<br>- asbestos.  | Date of last entry in record + 40 years | COSHH Regulation 2002<br>SI 2002/2677<br>Regulation 11(3)<br>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<br>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<br>Race Relations Act 1976 c.74<br>Disability Discrimination Act 1995 c.50<br>SI 2006/1031 Regulations 7, 36 and 42<br>SI 2003/1660 Regulations 6, 28 and 34<br>SI 2003/1661 Regulations 6, 28 and 34<br>Employment Practices Code, Section 1.7.1<br>(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<br>Race Relations Act 1976 c.74<br>Disability Discrimination Act 1995 c.50<br>SI 2006/1031 Regulations 7, 36 and 42<br>SI 2003/1660 Regulations 6, 28 and 34<br>SI 2003/1661 Regulations 6, 28 and 34<br>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<br>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<br>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<br>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<br>See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2005). | P&OD   | Strictly Confidential<br>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.<br>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.<br>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<br>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<br>Superseded + 6 years whichever is longer | Limitation Act 1980 c.58 s.5                                     | Line Managers              | Confidential<br>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.<br>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<br><br>Recommended:<br>Current Tax Year + 6 years | Limitation Act 1980 c.58 s.5<br>Equal Pay Act 1970 c.9 s.34<br>National Minimum Wage Regulations 1999 – S.I. 1999 No. 584 | P&OD                    | Strictly Confidential<br>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<br>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<br><br>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<br>Statutory Maternity Pay S.I.1986/1960 Reg. 26<br>The Statutory Maternity Pay (General) (Amendment) Regulations 2005 | P&OD           | Strictly Confidential<br>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<br>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<br>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<br>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<br>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<br>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<br>Retaining previous versions provides evidence of compliance and effective management of equality over time.          |
| O6  | Monitoring, by racial group, of...<br>- student admission and progress<br>- employee recruitment and career progress  | Current year + 5 years | JISC guidance                                 | Academic Registry, P&OD | Strictly Confidential<br>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.<br>Receipt and payment of purchase invoices.<br>Handling of petty cash. | Current financial year + 6 years | 1970 c. 9 s 34<br>Limitation Act<br>1980 c.58 s.5<br>1994 c. 23<br>HMRC 700/21<br>para. 5.2 | Finance        | Confidential<br>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.<br>Payment of expenses to third parties (e.g. honorary appointees).   | Current financial year + 6 years                    | 1970 c. 9 s 34<br>Limitation Act<br>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<br>Limitation Act<br>1980 c.58 s.5 | Finance, Student Administration Services | Confidential<br>See also Student Finance Administration <a href="#">E3</a>  |
| P4  | Preparation of annual accounts and LJMU's statutory accounts.<br>Annual Accounts.  | Current financial year + 6 years                    | Limitation Act<br>1980 c.58 s.5                   | Finance                                  | Confidential  |
| P5  | Analyses of the internal deployment of LJMU's financial resources.<br>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<br>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.<br>1260/1999<br>Article 38                 | Finance, RIS                             | Confidential<br>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.<br>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.<br>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<br>SI 1999/584 Regulation 38(7)<br>SI 2003/2682 | Finance        | Strictly Confidential<br>See also P&OD <a href="#">N27</a>   |

Records Retention Schedule (Version 1.1)

| 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<br>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<br>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<br>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)<br>SI 1995/2518 s 31<br>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<br>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.<br>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<br>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<br>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<br>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).<br>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.<br>Goods Received Notes/Goods Inwards Notes.   | Current financial year + 6 years          | Limitation Act 1980 c.58 s. 5.<br>HMRC 700/21 para. 5.2 | Finance        | Confidential<br>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:<br>- employers' liability insurance.<br>- 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)

| Ref | Record Type  | Retention Period                    | Guidance for retention period/legal reference | Responsibility | Classification/Notes |
|-----|--|-------------------------------------|---|----------------|----------------------|
| 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<br>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<br>Deeds of title for a property are transferred to the new owner when the property is sold.  |

Records Retention Schedule (Version 1.1)

| 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<br>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.<br>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.<br>Major maintenance works on property/facilities.   | Disposal of property, or completion of works + 15 years, whichever is longer. | JISC guidance<br>Limitation Act 1980 c.58 s.14B | Estates        | Confidential<br>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<br>Disposal of interest in property                 | SI 2007/320<br>Regulation 17                    | Estates        | Confidential<br>SI 2007/320 does not prescribe a retention period for these records  |



Records Retention Schedule (Version 1.1)

| 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<br>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<br>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<br>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<br>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<br>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<br>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<br>Regulation 11(2)(a)(ii)                  | Estates        | Confidential  |

Records Retention Schedule (Version 1.1)

| 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          |

Records Retention Schedule (Version 1.1)

**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         |

Records Retention Schedule (Version 1.1)

| 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<br><br>Recording of incidents - Last action on incident + 40 years<br><br>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         |

Records Retention Schedule (Version 1.1)

| 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).<br>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)<br><br>SI 2005/894 Regulation 49(3) | Estates        | Confidential<br>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  |

Records Retention Schedule (Version 1.1)

| 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<br><br>Last action on event + 10 years<br><br>Retain for longer depending on gravity of incident, for legacy | JISC guidance                                 | Estates, Health and Safety Unit | Confidential         |



Records Retention Schedule (Version 1.1)

| 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<br>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         |

Records Retention Schedule (Version 1.1)

| Ref | Record Type  | Retention Period             | Guidance for retention period/legal reference | Responsibility | Classification/Notes |
|-----|--|------------------------------|---|----------------|----------------------|
| 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.:<br>- interpretation of legislation affecting LJMU's legal framework, governance, responsibilities or operations<br>- proposals for new legislation affecting LJMU's legal framework, governance, responsibilities or operations<br>- LJMU's relationships with government bodies and HE regulators<br>- industrial relations issues<br>- 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         |

Records Retention Schedule (Version 1.1)

**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<br>(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          |

Records Retention Schedule (Version 1.1)

| 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...<br>- information held by LJMU, made under the Freedom of Information Act 2000 (c. 36).<br>- 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...<br>- Freedom of Information Act 2000 (c.36).<br>- 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...<br>- information held by LJMU, made under the Freedom of Information Act 2000 (c. 36).<br>- 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          |

Records Retention Schedule (Version 1.1)

| 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<br>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<br>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         |

Records Retention Schedule (Version 1.1)

| 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<br>Monitoring and analysis of media coverage of LJMU.  | Current year + 5 years                | JISC guidance                                 | CCSR                               | Open                 |



Records Retention Schedule (Version 1.1)

| 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<br>A shorter/longer period may be appropriate for |

Records Retention Schedule (Version 1.1)

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

Records Retention Schedule (Version 1.1)

**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         |

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> |
|------------|--|---------------------------------------|--|-----------------------|-----------------------------|
| 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                |

Records Retention Schedule (Version 1.1)

**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         |

Records Retention Schedule (Version 1.1)

**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:<br>- legal framework<br>- governance structure and rules | Life of institution | JISC guidance                                 | Secretariat    | Public               |

Records Retention Schedule (Version 1.1)

| 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<br>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<br>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<br>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<br>Retaining records of previous reviews provides evidence of effective monitoring over time, as well as compliance with regulatory requirements/recommendations to undertake reviews. |

Records Retention Schedule (Version 1.1)

| 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<br>However, redacted information may be made publicly available. |