



LIVERPOOL HOPE UNIVERSITY
RECORDS MANAGEMENT POLICY

Approved by:	University Council
Date approved :	4th July 2013

The University recognises that the efficient management of its records is necessary to support its core functions, to comply with its legal and regulatory obligations and to contribute to the effective overall management of the institution.

1. Scope of the policy

1.1 This policy applies to all records created, received or maintained by staff of the institution in the course of carrying out their teaching, assessment, scholarly, administrative or management functions.

1.2 Records are defined as all those documents, which facilitate the business carried out by the University and which are thereafter retained (for a set period) to provide evidence of its transactions or activities. These records may be created, received or maintained in hard copy or electronically.

1.3 A small percentage of the University's records will be selected for permanent preservation as part of the institution's archives, for historical research and as an enduring record of the conduct of business. Some records may be retained to substantiate the detail of employment relationships.

2. Responsibilities

2.1 The University has a corporate responsibility to maintain its records and recordkeeping systems in accordance with the regulatory environment. The Rectorate Team member with overall responsibility for this policy is the University Secretary and any queries about the operation of this policy should be directed to the University Secretary.

2.2 Other Rectorate Team members, senior managers and individual employees must ensure that records for which they are responsible are accurate, and are maintained and disposed of in accordance with the University's records management guidelines.

3. Legal and Regulatory requirements

This policy has been formulated specifically within the context of the Data Protection Act 1998 and the Freedom of Information Act 2000 and will not only facilitate compliance with that legislation but also with any other legislation, including Environmental Information Regulations 2004, Privacy and Electronic Communications Regulations 2011 and the Protection of Freedoms Act 2012, or regulations (including audit, equal opportunities and research ethics) affecting the institution.

4. Storage

All records should be stored with due regard for appropriateness, efficiency, cost effectiveness and security. It is the intention of the University to digitise records where possible and when resources allow.

Confidential and sensitive records should be stored securely, in locked cabinets if held in hard copy and in line with the Information Security Policy if held electronically.

5. Retention periods and Disposal

Records should be disposed of in accordance with the following agreed retention schedules. At the expiration of their currency, records should be destroyed securely or, if they have lasting historical value, added to the University archives. There may be specific archives, for example, employment related records held in Personnel.

5.1 Financial Records

The Finance Office will retain records for the following periods

Accounting Records (e.g purchase orders, invoices)	Current financial year plus six years
Payroll Records	Current financial year plus six years
Insurance Records	Current financial year plus six years
Financial Statements	Retained indefinitely
External Project records	Minimum of current financial year plus six years, although if funder requires longer retention then this will be complied with. For External Projects with European Funding, the retention period is the year of the Official EU Programme Closure letter plus 3 years

5.2 Personnel Records

The Personnel Office will retain records for the following periods

Staff personal files	Up to six years after member of staff leaves employment. N.B, Basic data may be kept on electronic system (CIPHR) indefinitely in order to substantiate the employment relationship
Recruitment files	Twelve months after recruitment exercise for unsuccessful candidates; details for successful candidate will be on personal file

5.3 Building & Estates Records

The Estates Office will retain records relating to buildings (i.e. Property Terriers and Health & Safety files) whilst the University has ownership or occupancy of such buildings. The files will be transferred to the new owner on completion of sale/transfer.

Records relating to construction projects will be retained for six years in line with the Financial Regulations.

5.4 Student and Curriculum Records

Student Records will be retained in line with the already agreed Student Data Archiving policy (attached to this document as an appendix).

5.5 Governance and Management Records

The University Secretary's Office will retain indefinitely the following corporate documents:-

University Council agendas, minutes and papers

University Council Committees agendas, minutes and papers

Senate and Senate Committee agendas, minutes and papers

Rectorate Team, Senior Management Team and Heads of Department agendas, minutes and papers.

All Audit and Inspection reports

References

JISC best practice guidance: www.jiscinfonet.ac.uk/infokits/records-management

CIMTECH Managing Information and Records guide [2013 edition] :
http://www.cimtech.co.uk/Pages/Main/pub_midguide.htm

Information Commissioner's Office guidance:

http://www.ico.org.uk/for_organisations/sector_guides/education

http://www.ico.org.uk/for_organisations/freedom_of_information/guide

http://www.ico.org.uk/for_organisations/data_protection/the_guide

http://www.ico.org.uk/for_organisations/environmental_information/guide

http://www.ico.org.uk/for_organisations/privacy_and_electronic_communications/the_guide

Lord Chancellor's Code of Practice on the management of records issued under section 46 of the Freedom of Information Act 2000. Revised and re-issued July 2009:
<http://www.justice.gov.uk/downloads/information-access-rights/foi/foi-section-46-code-of-practice.pdf>