

## Classification and Retention of University Records

Reference	Description	Retention Period	Citation	Notes
<b>A02.01</b>	<b>Research Quality and Standards Management</b>			
A02.01.01	The development of the institutions internal quality assurance processes	While current	Institutional Business Requirement	Review for archival value
A02.01.02	Conduct and results of formal internal and external reviews of research quality, and responses to the results	Current academic year + 5 years	Institutional Business Requirement	Review for archival value
<b>A02.02</b>	<b>Research Business Development</b>			
A02.02.01	Liaison with research sponsors to monitor their research policies and to promote the institutions capabilities	Current academic year + 5 years	Institutional Business Requirement	
A02.02.02	The identification and exploration of new research opportunities which lead to research projects	Completion of project	Institutional Business Requirement	Review for archival value
A02.02.03	The identification and exploration of new research opportunities which do not lead to research projects	Last action + 5 years	Institutional Business Requirement	
A02.02.04	The formation and management of partnerships and other collaborative arrangements to undertake research	Life of partnership/arrangement + 6 years	Limitation Act 1980 c58 s 5	Review for archival value
<b>A02.03</b>	<b>Research Project Development</b>			
A02.03.01	The design and planning of research projects which are undertaken: key records	Completion of project + 10 years	Institutional Business Requirement	This recommended retention period is in line with the retention period for the conduct of research. Review for archival value
A02.03.02	The design and planning of research projects which are not undertaken	Abandonment of plans + 1 year	Institutional Business Requirement	Retention for a longer period may be advisable, depending on the reasons for abandoning the project. Review for archival value
A02.03.03	The design and planning of European union (EU) funded research projects which are undertaken : key records	Minimum retention: Date of last funding payment + 10 years	Interreg Europe Programme Manual/ 19 December 2018 (version 6)	Page 28 of Interreg Europe Programme Manual, 19 December 2018 (version 6) suggests 10 years to demonstrate state aid (or lack of), however this may vary according to the National Archiving laws (see page 105). See ERDF website and individual project agreements with funding bodies

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<b>A02.04</b>	<b>Research Project Conduct</b>			
A02.04.01	Retention requirements for research data and records should be determined on a project by project basis, or at least for clearly defined categories of projects, taking account of: - the legal and regulatory framework for particular types of research; - the terms and conditions imposed by external research sponsors; - the commercial, political or ethical sensitivity of particular types of research, or any research for particular external sponsors		Institutional Business Requirement	
A02.04.02	Final reports of all research projects	Permanent	Institutional Business Requirement	Move to archive after 2yrs
A02.04.03	The conduct of research funded by the medical research council, except where other requirements are specified (see citations)	Completion of project + 10 years	Medical Research Council/ Good Research Practice/ section 52	Minimum requirement The Medical Research Council requirement is specifically for primary research data However, retaining full records of research studies is recommended
A02.04.04	The conduct of clinical or public health studies funded by the medical research council, except specific categories of records in studies for which consent was obtained	Completion of project + 20 years	Medical Research Council/ Good Research Practice/ section 52 and Personal Information in Medical Research/ section 712	The Medical Research Council requires full records of these studies to be retained for this minimum period and advises that retention for a longer period may be required where studies were of historical importance, where novel clinical interventions were first used, where studies have proved controversial or where research is ongoing
A02.04.05	The protocol, the consent procedure, the participants and adverse effects in all studies (for which consent was obtained) funded by the medical research council	Completion of project + 30 years	Medical Research Council/ Personal Information in Medical Research/ section 712	
A02.04.06	The conduct of all other research funded by all other organisations	Completion of project + 10 years (date of last funding payment + 10 years for projects funded by the European Union)	Institutional Business Requirement	Guidance on Managing Research Records, Jisr (2007) A shorter or longer retention period may be appropriate, depending on the discipline and the characteristics of the project, or may be required by a research sponsor

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<b>A02.05</b>	<b>Research Project Management</b>			
A02.05.01	The management of internally-funded research projects	Completion of project + 3 years	Institutional Business Requirement	Common Internal Audit Requirement
A02.05.02	The management of externally-funded research projects	Completion of project + 6 years unless a longer period is required by the sponsor contract	Limitation Act 1980 c58 s 5	A longer retention period for these records may be required by a research sponsor. Review for archival value
A02.05.03	The management of European union (EU) funded research projects	Date of last funding payment + 10 years	Interreg Europe Programme Manual/ 19 December 2018 (version 6)	Page 28 of Interreg Europe Programme Manual, 19 December 2018 (version 6) suggests 10 years to demonstrate state aid (or lack of), however this may vary according to the National Archiving laws (see page 105). See ERDF website and individual project agreements with funding bodies
<b>A02.06</b>	<b>Research Dissemination</b>			
A02.06.01	Announcements of research results other than in publications or through the media	Issue of announcement + 1 year	Institutional Business Requirement	
A02.06.02	Working papers for the preparation of publications, audio-visual presentations etc to disseminate research results (not interim or final research reports)	Publication/delivery + 1 year	Institutional Business Requirement	This category does not include interim or final reports of research studies, which are covered by Research - Research Conduct
A02.06.03	Final versions of publications and presentations made to disseminate research results (not interim or final research reports)	Publication/ delivery + 3 years	Institutional Business Requirement	This category does not include interim or final reports of research studies, which are covered by Research - Research Conduct. For Research Student PhDs see A02.10.01 - Review for archival value
<b>A02.07</b>	<b>Research Exploitation</b>			
A02.07.01	The identification of new intellectual property and liaison with specialists regarding applications for patents etc	Last action on issue + 5 years	Institutional Business Requirement	Review for archival value
A02.07.02	The identification of opportunities for commercial exploitation of research results and liaison with specialist staff regarding formation of spin-out companies to develop commercial products	Last action on issue + 5 years	Institutional Business Requirement	Review for archival value

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<b>A02.08</b>	<b>Research Programme Development</b>			
A02.08.01	The development of the institutions research programmes	Life of programme + 10 years	Institutional Business Requirement	Review for archival value
A02.08.02	Routine monitoring of external developments and trends to inform the development of the institutions research programmes	Current academic year + 1 year	Institutional Business Requirement	
<b>A02.09</b>	<b>Research Programme Review</b>			
A02.09.01	Records containing data on, and analyses of, student numbers and other programme statistics	Current academic year + 5 years	Institutional Business Requirement	
A02.09.02	Reports of routine internal and independent reviews of research programmes	Current academic year + 5 years	Institutional Business Requirement	Review for archival value
<b>A02.10</b>	<b>Research Student Assessment</b>			
A02.10.01	The conduct of formal assessments of work undertaken by research students	Completion of student's programme + 6 years	Limitation Act 1980 c58	Review for archival value
A02.10.02	Awards and classifications, including reviews in response to notifications of mitigating circumstances or academic appeals	Current academic year + 6 years	Limitation Act 1980 c58 s 5	
<b>A02.11</b>	<b>Research Student Academic Supervision and Support</b>			
A02.11.01	The appointment of supervisors for research students	Termination of appointment + 1 year	Institutional Business Requirement	
A02.11.02	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 c58 s 5	
A02.11.03	The development and delivery of training in research-related skills	Current academic year + 5 years	Institutional Business Requirement	