

Contents

10.	Research.....	2
10.1	Strategy, Policy, Procedure and Committee Records	2
10.2	Quality & Standards Management	2
10.3	Business Development	3
10.4	Research Performance Management	4
10.5	Project Development	5
10.6	Project Management.....	5
10.7	Research Dissemination	6
10.8	Research Assessment Exercise (RAE) policy and management.....	6
10.9	Research Exploitation	7
10.10	Research Ethics	7
10.11	Applications for ethical approval	8
10.12	Research Data.....	9
10.13	Clinical Trials data	10
10.14	Sponsor Information.....	11

10. Research

10.1 Strategy, Policy, Procedure and Committee Records

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
University Research Committee agendas, papers, minutes	Meeting	Permanent	GOOD PRACTICE	Good Practice
Faculty committee agendas, papers, minutes	Meeting	Permanent	Good Practice	Good Practice
Key records relating to the development and establishment of research policies and procedures	Superseded	+ 10 years	Good Practice	Good Practice
Working documents relating to the development and establishment of research policies and procedures	Publication of policy	+ 1 year	Good Practice	Good Practice
Records of strategy review (includes all data, reports and audit material)	Current academic year	+ 10 years	Good Practice	Good Practice

10.2 Quality & Standards Management

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
University quality assurance processes	Announcement of RAE Results	1 year or 5 years (whichever is	Review for Archive Value	GOOD PRACTICE

	or Current academic year	longer)		
Conduct and results of formal internal reviews of research quality, and responses to results	Announcement of RAE Results	1 year or 5 years (whichever is longer)	Destroy	GOOD PRACTICE
Conduct and results of external reviews and audits of research quality and standards		1 year or 5 years (whichever is longer)	Destroy	GOOD PRACTICE

10.3 Business Development

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Promotion of the University's research capabilities.	Current academic year	3 years	Destroy	GOOD PRACTICE
Identification and exploration of new research opportunities which lead to research projects.	Completion of project unless otherwise requested by research sponsor	GOOD PRACTICE	Review for Archive Value	GOOD PRACTICE

Identification and exploration of new research opportunities which do not lead to research projects.	Last action	5 years	Destroy	GOOD PRACTICE
Records documenting the formation and management of partnerships and other collaborative arrangements to undertake research	Life of partnership/arrangement	6 years	Review for Archive Value	GOOD PRACTICE

10.4 Research Performance Management

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Project design and preparation which lead to research projects (e.g. proposals)	Completion of project	+ 6 years unless otherwise requested by research sponsor	Destroy	GOOD PRACTICE
Lists and summaries of grants	Academic year	7 years	Destroy	GOOD PRACTICE
Liaison with research sponsors, including monitoring of their policies and promotion of University capabilities	Current academic year	5 years	Destroy	GOOD PRACTICE
Records documenting the formation and management of research partnerships and collaborations	Life of partnership or collaboration	6 years	Destroy	Limitations Act 1980

10.5 Project Development

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Project design and preparation which lead to research projects (e.g. proposals)	Completion of project	6 years unless otherwise requested by research sponsor	Destroy	GOOD PRACTICE
Project design and preparation which do not lead to research projects (e.g. proposals)	Last action	5 years	Review for Archive Value	GOOD PRACTICE

10.6 Project Management

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Records documenting the management of internally-funded research projects (e.g. budgets, staff etc)	Completion of project	6 years	Destroy	GOOD PRACTICE
Records documenting the management of externally-funded research projects (e.g. budgets, staff etc)	Completion of project	6 years unless a longer period is required by sponsor contract	Destroy	Limitations Act 1980
Final reports of all research projects	Completion of project	6 years	Review for Archive Value	GOOD PRACTICE

10.7 Research Dissemination

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Announcements of research results other than in publications or through the media	Issue of announcement Or RAE results	3 years or 1 year, whichever is the longer	Destroy	GOOD PRACTICE
Preparation of publications, presentations, demonstrations or other means of disseminating research results.	Publication / Delivery Or RAE results	3 years or 1 year, whichever is the longer	Destroy	GOOD PRACTICE
Final versions of publications, presentations etc.	Publication / Delivery Or RAE results	3 years or 1 year, whichever is the longer	Destroy	GOOD PRACTICE

10.8 Research Assessment Exercise (RAE) policy and management

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Final submissions/ unit of assessment submissions	Submission	Faculty copy retained locally for 10 years A selection of final submissions are	Yes	GOOD PRACTICE

		published internally after around 18 months		
Internal RAE papers, including processes and preparations for submission	Final submission	5 years	No	GOOD PRACTICE
External RAE papers, including consultations and correspondence with Research Councils	Final submission	5 years	No	GOOD PRACTICE

10.9 Research Exploitation

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Identification of new intellectual property and applications for patents etc.	Last action (to include patent renewal fees) on issue	6 years	Review for Archive Value	GOOD PRACTICE
Identification of opportunities for commercial exploitation and formation of spin-out companies to develop commercial products	Last action on issue	6 years	Review for Archive Value	GOOD PRACTICE

10.10 Research Ethics

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Research Ethics Committee agendas, papers, minutes	GOOD PRACTICE	Permanent	GOOD PRACTICE	GOOD PRACTICE

Research ethics subcommittees agendas, minutes and papers	GOOD PRACTICE	Permanent	GOOD PRACTICE	GOOD PRACTICE
Research and Ethics Committee and membership documents including application forms, confirmation letters and contact details	Duration of membership	6 months	Destroy	GOOD PRACTICE
Research and Ethics Committee unsuccessful applications for membership	Decision	6 months	Destroy	GOOD PRACTICE

10.11 Applications for ethical approval

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Applications to research ethics Committee – High Risk Applications	Completion of study	10 years	Review for Archive Value	GOOD PRACTICE
Applications to research ethics Committee – Moderate Risk Applications	Completion of study	1 year Applies to undergraduate and taught masters	Review for Archive Value	GOOD PRACTICE
Applications to research ethics Committee – Low Risk Applications	Completion of study	1 year Applies to undergraduate and taught masters	Destroy	GOOD PRACTICE

10.12 Research Data

Retention times vary depending upon the requirements of the funding body or the nature of the research being undertaken. Please consult with your funder in the first instance when calculating retention.

Some standard periods are listed below for non-externally funded research; please contact the Records and Information Manager for specific advice.

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Council funded research data	Completion of project	3 years	Review for Archive Value	Arts and Humanities Research Council (AHRC)
Low risk projects approved by Faculty Research Ethics Panels or one of the:	Completion of study	1 year	Review for Archive Value	GOOD PRACTICE
Moderate risk projects approved by Faculty Research Ethics Panels or one of the following Research Ethics sub committees:	Completion of study	3 years Applies to all staff and research students non-funded projects which have not been deemed high risk. All funded research should be retained in line with requirements of the funding research council or sponsor.	Destroy	GOOD PRACTICE
High risk projects approved by Faculty Research Ethics Panels or one of the following Research Ethics sub committees:	Completion of study	7 years Applies to all staff and research students non-funded projects which have not been deemed high risk. All funded research should be retained	Destroy	GOOD PRACTICE

		in line with requirements of the funding research council or sponsor.		
--	--	---	--	--

10.13 *Clinical Trials data*

Retention times vary depending upon the funders requirements or the nature of the research being undertaken. Some standard periods are listed below; please contact the Records and Information Manager for specific advice.

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Health research – clinical trials data	Completion of project	7 years	Review for Archive Value	Medicines for Human Use (Clinical Trial) Regulations 2004 Human Tissue Act 2004 Human Fertilisation and Embryology Act 1990
Primary medical research data	Completion of project	10 years	Review for Archive Value	Medical Research Council
Data relating to clinical or public health studies	Completion of project	20 years	Destroy	Medical Research Council
Clinical trials standard operating procedures (SOPs)	End of trial	Agreed by trial	Destroy	Medicines for Human Use (Clinical Trial) Regulations 2004
Locally approved clinical protocols	Superseded	As agreed locally	Review for Archive Value	

10.14 Sponsor Information

Research projects sponsored by external funders may be required to follow the retention practices of the sponsor rather than those outlined in this schedule.

Below are *Extracts from documents published by UK Research Councils and other research funders* for guidance purposes only. Researchers must check with their funder to ensure that they are working to correct retention periods.

Guidance from Funding Bodies

AHRC:

<http://www.ahrc.ac.uk/documents/guides/research-funding-guide/> - updated May 2015 (Data policy just says to abide by RCUK Common Principles on Data Policy, p100, but also has substantial guidance about sustainability and preservation of datasets and other outputs under the Technical Plan section 4.2.7.5, p51)

BBSRC:

<http://www.bbsrc.ac.uk/documents/grants-guide/> - updated March 2015 (BBSRC have a separate data sharing policy here: <http://www.bbsrc.ac.uk/about/policies/position/policy/data-sharing-policy/>, which was updated in 2010)

EPSRC:

<https://www.epsrc.ac.uk/funding/howtoapply/fundingguide/> - no update date available as this is not a separate document (EPSRC has a separate policy framework on research data: <https://www.epsrc.ac.uk/about/standards/researchdata/>)

ESRC: http://www.esrc.ac.uk/images/Research-Funding-Guide_tcm8-2323.pdf - updated May 2015 (Data policy p16)

MRC:

<http://www.mrc.ac.uk/documents/pdf/guidance-for-applicants-and-award-holders/> - updated March 2015 (contains guidance on data management plans, p23-24, there is a separate data sharing policy available here: <http://www.mrc.ac.uk/research/research-policy-ethics/data-sharing/policy/>)

NERC: <http://www.nerc.ac.uk/funding/application/howtoapply/forms/grantshandbook/> - updated June 2015 (statement on data availability p24,

there is a separate data policy: <http://www.nerc.ac.uk/research/sites/data/policy/data-policy/>)

STFC:

<http://www.rgh.stfc.ac.uk/rgh/rghHome2.aspx> - no update date available as this is not a separate document (separate scientific data policy available here: <http://www.stfc.ac.uk/about-us/freedom-of-information/scientific-data-policy/>)