



UNIVERSITY OF  
LEICESTER

Records Management Policy

# Research and Enterprise Retention Schedule

# Records Management Policy

## Version Control and Approval

Version Number	Comments	Author	Date
V0.01-3	First stand-alone version – interim version, input provided by RED Senior Leadership Team (and delegated colleagues) and Leicester Innovation Hub and Regional Engagement	David Jenkins/Rachel Machado	July 2021
V1.00	First approved version	David Jenkins/Rachel Machado	September 2021

Version Number	Approved by	Date
V1.00	Ian Forristal	September 2021

## Implementation Guidance

### Principles to follow

- It is good practice to proactively dispose of records on a regular basis (at least once a year if not more frequently). This helps make the process more manageable by keeping the quantity of records in your systems/storage locations to a manageable volume. If no proactive disposal takes place then it can make carrying out a review of records complex and time consuming (typically coinciding with the need to move offices or cleanse data from a system).
- Disposal actions need to be carried out when records are no longer 'current' (for example when a student has completed their studies with the University then their records are no longer active and can be reviewed). Retention periods will start to apply once a 'trigger' has been reached. For student data this will generally be the end of their studies. It is very rare for retention periods to start from the creation of a record.
- Retention rules apply to all information regardless of its format. This means that the same retention periods should apply to paper records as well as electronic records. The only exception to this might be when data has been extracted from a paper record and input into a system (i.e. transcribing information into a database and then regarding the information in this database as 'the record'). In cases where information has been transcribed it is usually beneficial to retain the paper original for a short period of time in case of any data quality concerns over the transcribed data.
- In order to make the proactive disposal of information easier it is good practice to store information in a way that supports the eventual disposal process. Examples might include arranging folders on the X:Drive by academic year so that a retention rule can be applied at the end of year. Similarly it is best practice to avoid large spreadsheets or database that include all of a School/Department's students over multiple cohorts as this can make the eventual disposal complex and time consuming, in these cases it is best practice to have a single spreadsheet/database based on a cohort year.
- The University Archives are the corporate memory of the University. Information transferred to the archive, in paper or digital form, is preserved permanently for staff, students, alumni and non-members of the University community to research within (subject to Information legislation). The Archives and Special Collections pages on the Library website tell you more about what we want to collect and how to transfer records, or you can [email the team](#) with any questions.

### Where to go for more information

- For information on how long research related records should be retained is covered by the [Research Retention Flowchart](#).
- For any queries about retention periods that are not covered by this retention schedule or records management in general please contact [Records Management](#).

## Contents

1. Research quality management.....	5
2. Research performance management.....	6
3. Research Excellence Framework (REF) management.....	6
4. Research business management .....	7
5. Research funding and business development opportunities.....	8
6. Research grants and contracts.....	8
7. Research Ethics, Governance and Integrity .....	9
8. Contracts and agreements .....	12

# Records Management Policy

## 1. Research quality management

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
1.01	Administering Research quality assurance processes	Process documents	Destroy 6 years from date superseded	Business requirement	Research and Enterprise Division
1.02	Conduct and the results of formal reviews of research quality, and responses to results	Reviews; Responses; Action Plans	Destroy 5 years from end of academic year created	Business requirement	Research and Enterprise Division
1.03	External peer reviews of research outputs	Review Forms; invoices, payment details and related communications;	Destroy 5 years from end of REF cycle created in	Business requirement	Research and Enterprise Division
1.04	Staff Current Research Information System (CRIS) records	Records for staff in university's CRIS system (currently IRIS)	Remove DOB within 12 months of member of staff leaving; retain rest of record for 10 years	Business Requirement	Research and Enterprise Division
1.05	Industrial Research and Development Projects	Project reports and presentations	European Regional Development Fund (ERDF) and European Social Fund (ESF) related contracts to be available for audit until end of 2036, in accordance with project funding agreements.	Business, ERDF and ESF contractual requirements.	Leicester Innovation Hub and archived material in off-site storage  <u>Note:</u> ERDF, ESF have specific retention information included in the project agreements.

## Records Management Policy

### 2. Research performance management

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
2.01	Reporting on the performance of grants	Lists and summaries of grants	Destroy 7 years from date created	Business requirement	Research and Enterprise Division
2.02	Reporting on the activities of research students	Annual reports	Destroy 1 years from end of academic year	Business requirement	Research and Enterprise Division
2.03	European Regional Development Fund (ERDF) Summative Assessment Report	Project specific Summative Assessment Report	European Regional Development Fund (ERDF) and European Social Fund (ESF) related contracts to be available for audit until end of 2036, in accordance with project funding agreements.	Business, ERDF and ESF contractual requirements.	Research and Enterprise Division  Leicester Innovation Hub and archived material in off-site storage  <u>Note:</u> ERDF, ESF have specific retention information included in the project agreements.

### 3. Research Excellence Framework (REF) management

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
3.01	Final REF submission	REF Submission	Permanent. Offer to archives	Business requirement	Research and Enterprise Division; Archives and Special Collections
3.02	Administering the processes associated with the REF submission	Internal reports; Consultations;	Destroy 8 years from end of REF period	Business requirement	Research and Enterprise Division



## Records Management Policy

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
		Correspondence; REF module from CRIS system			
3.03	Documents for REF committee and groups serviced by RSPT: <ul style="list-style-type: none"> <li>REF Steering Group</li> <li>REF Advisory Group</li> <li>REF Operations Group</li> <li>Special Circumstances Meetings</li> <li>REF staff independence panel notes</li> </ul>	Minutes, Papers etc.	Destroy 10 years after date of meeting	Business Requirement	Research and Enterprise Division

### 4. Research business management

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
4.01	Liaison with research sponsors, including the monitoring of their policies and promotion of University capabilities	Monitoring documents; Correspondence	Destroy 5 years from end of academic year	Business requirement	Research and Enterprise Division
4.02	Records documenting the formation and management of research partnerships and collaborations	Agreements; Reviews; Correspondence	Destroy 7 years from end of partnership. European Regional Development Fund (ERDF) and European Social Fund (ESF) related contracts to be available for audit until end of 2036, in	Business Requirement, ERDF and ESF contractual requirements.	Research and Enterprise Division Leicester Innovation Hub and archived material in off-site storage



## Records Management Policy

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
			accordance with project funding agreements.		<u>Note:</u> ERDF, ESF have specific retention information included in the project agreements.

### 5. Research funding and business development opportunities

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
5.01	Identification and evaluation of research funding opportunities	Grant Lists; Calls for proposals	Destroy 1 year from closing date	Business requirement	Research and Enterprise Division
5.02	Research project proposal files	Copy of application to funder, Correspondence with academics,	Destroy 3 years from end of academic year application made	Business requirement	Research and Enterprise Division

### 6. Research grants and contracts

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
6.01	Planning and monitoring the administration of grants	Project planning files; Project monitoring files	Destroy 7 years from closure of finance file (unless required for	Business and funder requirements	Research and Enterprise Division





## Records Management Policy

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
			longer by a funding body)		

### 7. Research Ethics, Governance and Integrity

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
7.01	Administering membership of Research Ethics Committee – successful applications for membership	Application forms; Confirmation letters; Contract details	Destroy 6 months from end of membership	Business requirement	Research and Enterprise Division
7.02	Administering membership of Research Ethics Committee – unsuccessful applications for membership	Application forms	Destroy 6 months from date of application	Business requirement	Research and Enterprise Division
7.03	Applications for research ethics approval	Applications	Destroy 6 years from completion of studies	Business requirement	Ethics System.  <u>Note:</u> Study teams should hold a copy of applications and approval letters in their research files for the project. This should be stored in line with the <a href="#">Research Retention Flowchart</a> /funder requirements
7.04	Documents for committee and groups serviced by REGI:	Minutes, Papers etc.	Destroy 6 years after meeting date	Business requirement	Research and Enterprise Division  Departmental Shared Drive



## Records Management Policy

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
	<ul style="list-style-type: none"> <li>University Ethics and Integrity Committee</li> <li>Research Integrity Working Group</li> <li>Advisory Group on Sensitive, Extreme, and Radical Material</li> <li>Research Sponsorship Committee</li> <li>Human Tissue Act Committee</li> </ul>				
7.05	Documents for committee and groups serviced by REGI: <ul style="list-style-type: none"> <li>Research Sponsorship Committee (RSC)</li> <li>Research Sponsorship Management Operational Group (RSMOG)</li> </ul>	Minutes, Papers etc.	Destroy 30 years after date of meeting	The Medicines for Human Use (Clinical Trials) Regulations 2004	Research and Enterprise Division  Departmental Shared Drive
7.06	Team Meeting Minutes/Papers		Destroy 2 years after meeting	Business requirement	Research and Enterprise Division  Departmental Shared Drive
7.07	Sponsorship Study Records (no-participant identifiable data)	Paper study files Electronic copy of study files	Clinical Trial of an Investigatory Medicinal Product (CTIMP) – destroy 25 years from close of study	The Medicines for Human Use (Clinical Trials) Regulations 2004  Limitations Act 1980	Research and Enterprise Division  Departmental Shared Drive Sponsors Office



## Records Management Policy

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
			Non-CTIMP – destroy 6 years from close of study		
7.08	Research process documents	HTA/Sponsored/Ethics Standard Operating Procedures	Destroy 30 years from date superseded	The Medicines for Human Use (Clinical Trials) Regulations 2004	Research and Enterprise Division  Departmental Shared Drive Sponsors Office
7.09	Monitoring Service Financial information	Monitoring Finance Spreadsheet	Destroy 6 years from ceasing monitoring services	Business requirement	Departmental Shared Drive
7.10	Applications and Ethics Approval for Innovation projects part funded by European Regional Development Fund (ERDF), and ESF (European Social Fund).	Applications for research that involve individuals. Sector specific requests that are could affect contractual obligations and reputational damage.	European Regional Development Fund (ERDF) and European Social Fund (ESF) related contracts to be available for audit until end of 2036, in accordance with project funding agreements.	Business Requirement, ERDF and ESF contractual requirements.	Leicester Innovation Hub and archived material in off-site storage  <u>Note:</u> ERDF, ESF have specific retention information included in the project agreements.

# Records Management Policy

## 8. Contracts and agreements

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
8.01	Contracts and agreements	Contracts; Agreements	Destroy 7 years from end of project/end of obligations of contract European Regional Development Fund (ERDF) and European Social Fund (ESF) related contracts to be available for audit until end of 2036, in accordance with project funding agreements.	Business requirement, ERDF and ESF contractual requirements.	Research and Enterprise Division  <u>Note:</u> Retention should be governed by the terms of the research/project agreement/programme. If no retention period specified, then guidance should be sought from Records Management  Leicester Innovation Hub and archived material in off-site storage  <u>Note:</u> ERDF, ESF have specific retention information included in the project agreements.
8.02	Undertaking and supporting Enterprise Consultancy work	Contracts; Agreements; Correspondence	Destroy 7 years from end of project/end of obligations of contract	Business Requirement, ERDF and ESF contractual requirements.	Research and Enterprise Division  <u>Note:</u> Retention should be governed by the terms of the research/project agreement/programme. If no retention period specified, then guidance should be sought from Records Management.

## Records Management Policy

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
8.03	Undertaking and supporting Innovation projects part funded by European Regional Development Fund (ERDF), and ESF (European Social Fund).	Contracts; Agreements; Correspondence	European Regional Development Fund (ERDF) and European Social Fund (ESF) related contracts to be available for audit until end of 2036, in accordance with project funding agreements.	Business Requirement, ERDF and ESF contractual requirements.	Leicester Innovation Hub and archived material in off-site storage  <u>Note:</u> ERDF, ESF have specific retention information included in the project agreements.
8.04	Records of patent applications and granted patents	Correspondence with patent agents and licencing agencies	Destroy 2 years from the expiry or abandonment of a patent	IPO Guidance	Research and Enterprise Division