

Research and Enterprise Services - Records Retention Schedule (RRS)

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This document defines the records retention schedule for records held and owned by Research and Enterprise Services and is based on the JISC Higher Education Business Classification Scheme and Records Retention Schedules¹. Further information about RRSs and their structure including the descriptions of the column headings are available on the UEA website.²

This document also includes the records of the Careers and Employability Department, and Research Finance .

- Many documents, both for research and enterprise may contain *non-disclosure agreements*. Any document containing a non-disclosure agreement should be retained for the period of the agreement plus six years.
- Documents may be or contain *Material Transfer Agreements*. These documents should be retained for as long as the material covered remains in the possession of the University plus six years.
- Certain funders, particularly the EU may have additional requirements for the retention of records that could be noted on the relevant file.
- At the end of the retention period the record will be reviewed for archival value, or a continuing contractual need for retention, before destruction, which will be noted.

Version history

Version	Date	Note
0.1	12/10/2012	First draft
0.2	16/11/2012	Final draft

¹ <http://bcs.jiscinfonet.ac.uk/he/default.asp>

² <http://www.uea.ac.uk/is/strategies/infregs/Records+management/RRS>

REN Strategic, Policy and Procedures (Overview)

Activity	Record group	Retention period	Authority	Notes
Strategy Development	Records documenting the development and establishment of the institution's strategy for this business area: <i>key records</i> .	Until superseded + 10 years	NA	Linked to Corporate Plan
	Records documenting the development and establishment of the institution's strategy for this business area: <i>working papers</i> .	Issue of strategy + 1 year	NA	Linked to Corporate Plan
Policy Development	Records documenting the development and establishment of the institution's policies for this business area: <i>key records</i> .	Until superseded + 10 years	NA	IP Policy Research Ethics Good Practice in Research Misconduct procedure etc
	Records documenting the development and establishment of the institution's policies for this business area: <i>working papers</i> .	Issue of policy + 1 year	NA	As above
Procedure Development	Master copies of procedures relating to this business area.	Until superseded + 5 years	NA	
	Records documenting the development of the institution's procedures relating to this business area.	Issue of procedures + 1 year	NA	

Records Management (documents created, used and retained within REN)

Activity	Record group	Retention period	Authority	Notes
Records Creation & Organisation	Records documenting recordkeeping requirements for specific business activities and processes.	Until superseded	NA	These processes are currently described in the REN Process Guide.
Records Storage & Handling	Records documenting storage locations of records and movement of records to/from.	Until records listed have all been destroyed		
Records Management				See ISD RRS for detailed procedures
Records Disposal	Records documenting authorisation for the disposal of redundant records.	Disposal of records + 25 years	UEA Records Management Policy	UEA Records Management Policy requires Head of Department to authorise destruction and make an annual statement.

Careers Centre/ Student Enterprise and Employability

Activity	Record group	Retention period	Authority	Notes
Student Records Administration	Records containing personal data on individual students e.g. careers advice/development	Minimum requirement varies for different types of personal data. Recommended maximum retention: End of 'registered student' relationship with	1980 c. 58 s 5	See Guidance on Retention of Student Records.

Activity	Record group	Retention period	Authority	Notes
		institution + 6 years		
	Records containing standard analyses of data from individual students' records.	Current academic year + 5 years	NA	
	Records documenting the handling of individual students' requests for statements of results/transcripts.	Last action on request + 1 year	NA	
	Records documenting the handling of requests for ad hoc analyses of data from individual students' records.	Last action on request + 1 year	NA	

Human resources management

Information held in REN relating to REN staff, some of which may also be held in Human Resources (HRD).

Activity	Record group	Retention period	Authority	Notes
Employee Contract Management	Records containing employee's basic personal details (e.g. address, next of kin, emergency contacts).	Until superseded	NA	For primary employee contract records, see HUMAN RESOURCES MANAGEMENT - EMPLOYEE CONTRACT MANAGEMENT).
	Records documenting changes to the employee's terms and conditions of employment.	Termination of employment + 6 years	1980 c. 58 s 5	Duplicate of HR Records
	Records documenting the employee's training and development needs, and the action taken to meet these needs.	Completion of actions + 5 years	NA	Appraisal records
	Records documenting routine	Until superseded + 3	NA	

Activity	Record group	Retention period	Authority	Notes
	assessments/reviews of the employee's performance, and any consequent action taken.	years		
	Records documenting the authorisation and administration of special leave, e.g. time off work, leave for study and training.	Current year + 1 year	NA	Duplicate of HR Records and staff returns to Payroll
	Records relating to the administration of the employee's contractual holiday entitlement.	Current year + 1 year	NA	REN spreadsheet, email calendar, staff returns to Payroll
Workforce Planning	Records documenting the assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements.	Current year + 3 years	NA	Requests for additional resources and post release cases
	Records documenting the development and evaluation of job specifications.	Until superseded + 5 years	NA	Duplicates of HR records
Research Project Staff Appointments	Records documenting the processes of employing staff charged to externally funded individual projects.	Completion of project + 6 years		Duplicated in HR and School records

Knowledge transfer and enterprise (including intellectual property protection)

Information held in Research and Enterprise Services (REN).

Business Development

Activity	Record group	Retention period	Authority	Notes
Business Development	Records documenting liaison with potential business partners to assess their needs and to promote the institution's capabilities.	Current academic year + 6 years	NA	
	Records documenting the formation and management of partnerships and other collaborative arrangements to undertake research and knowledge transfer.	Life of partnership/arrangement + 6 years	1980 c. 58 s 5	
	Records documenting the identification and exploration of new opportunities which do not lead to knowledge transfer or research projects.	Last action + 6 years	NA	
	Records documenting the identification and exploration of new opportunities which lead to knowledge transfer or research projects.	Completion of project	NA	

Consultancy

Activity	Record group	Retention period	Authority	Notes
Consultancy Contract	Records documenting the negotiation and agreement of	Termination of contract + 6 years	1980 c. 58 s 5	

Activity	Record group	Retention period	Authority	Notes
Management	contracts, and subsequent variations to contracts: <i>key records</i> .			
	Records documenting the negotiation and agreement of contracts, and subsequent variations to contracts: <i>working papers</i> .	Agreement of contract	NA	
Consultancy Project Delivery	Records documenting project deliverables/outcomes: <i>draft versions and working papers</i> .	Termination of contract	NA	
	Records documenting project deliverables/outcomes: <i>final versions and confirmations of client acceptance</i> .	Termination of contract + 6 years	1980 c. 58 s 5	
	Records documenting substantive project work.	Termination of contract + 3 years		Information/records provided by clients may be returned to them at the end of projects.
	Records documenting the scheduling of meetings, interviews and other project work.	Termination of contract	NA	
Consultancy Project Management	Records documenting the management of consultancy projects: <i>key records</i> .	Termination of contract + 6 years		To review retention period in line with contracts under Projects heading
	Records documenting the management of consultancy projects: <i>working papers</i> .	Termination of contract	NA	
Consultancy Promotion	Directories of expertise	Current	NA	Retention of these records must comply with the provisions of the Data Protection Act 1998.
Consultancy Prospect Management	Records documenting the handling of enquiries about consultancy, where no further action is taken.	Last action on enquiry + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is accepted (i.e. results in a contract): working papers.	Agreement of contract	NA	
	Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is successful (i.e. results in a contract): key records.	Termination of contract + 6 years	1980 c. 58 s 5	
	Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is unsuccessful (i.e. does not result in a contract).	Receipt of notification that proposal/tender was unsuccessful + 1 year	NA	

Education and training

Activity	Record group	Retention period	Authority	Notes
Education & Training Contract Management	Records documenting the negotiation and establishment of contracts.	Termination of contract + 6 years	1980 c. 58 s 5	
Education & Training Programme Delivery	Records documenting the planning and conduct of teaching and learning events.	Current academic year + 1 year	NA	
	Records documenting the	Current academic year +	NA	

Activity	Record group	Retention period	Authority	Notes
	preparation of teaching and learning materials.	1 year		
Education & Training Programme Development	Records documenting the development of education and training programmes.	Life of programme + 5 years	NA	
Education & Training Programme Review	Records containing data on, and analyses of, student numbers and other programme statistics.	Current academic year + 5 years	NA	

Intellectual property rights (IPR) exploitation

Activity	Record group	Retention period	Authority	Notes
IPR Assignment	Records documenting the negotiation and completion of IPR assignments to third parties and inward IPR assignments.	Life of IPR + 6 years	1980 c. 58 s 5	
IPR Licensing	Records documenting the negotiation and completion of IPR licence agreements to third parties.	Termination of licence + 6 years	1980 c. 58 s 5	

Intellectual property rights (IPR) management

Activity	Record group	Retention period	Authority	Notes
IPR Protection	Records documenting applications for renewal of IPR protection, up to the maximum period permitted.	Life of patent/End of registration + 6 years	NA	
	Records documenting identified	Last action on case + 6	1980 c.58 s 5	

Activity	Record group	Retention period	Authority	Notes
	infringements of the institution's IPR, and action taken other than litigation.	years		
	Records documenting routine monitoring of third party activity to detect infringements of the institution's IPR.	Current year + 6 years	NA	
	Records documenting the institution's applications for other forms of IPR protection (registered trade marks, registered designs) and certificates of registration	End of registration + 6 years	1980 c. 58 s 5	
	Records documenting the institution's applications for patents and patent certificates.	Life of patent + 50 years	Legal opinion	50 years recommended in JISC Guidance based on legal opinion.
	Records documenting IPR disclosure to the institution (commercial opportunity disclosure)	Life of project + 6 years		
	Stand-alone records documenting the transfer of materials with third parties	Material in possession of receiving party + 6 years		
	Stand-alone records documenting the transfer of data with third parties	Termination of agreement + 6 years		
	Stand-alone records documenting the disclosure of confidential information with third parties	Termination of agreement + 6 years		

Projects (Research, Consultancy, Enterprise where there is no formal IPR protection)

Information held by Research and Enterprise Services (REN).

Activity	Record group	Retention period	Authority	Notes
Research Business Development	Records documenting liaison with research sponsors to monitor their research policies and to promote the institution's capabilities.	Current academic year + 5 years	NA	
	Records documenting the formation and management of partnerships and other collaborative arrangements to undertake research.	Life of partnership/arrangement + 6 years	1980 c. 58 s 5	
	Records documenting the identification and exploration of new research opportunities which do not lead to research projects.	Last action + 5 years	NA	
	Records documenting the identification and exploration of new research opportunities which lead to research projects.	Completion of project	NA	
Research Design & Planning	Records documenting the design and planning of research projects which are not undertaken.			Original documents will be held by researchers. Duplicates may be included in joint files for research funding and administration.
	Records documenting the design and planning of research projects which are undertaken: key records.			As above
	Records documenting the design and planning of research projects			As above

Activity	Record group	Retention period	Authority	Notes
	which are undertaken: working papers.			
Contracts & Agreements Management	Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties : agreements and contracts <i>under seal (by deed)</i> .	Termination of contract + 12 years	1980 c. 58 s 8	
	Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties : <i>other contracts and agreements</i> .	Termination of contract + 6 years	1980 c. 58 s 5	To review in line with retention period for contracts under Consultancy heading.
	Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties: <i>special conditions relating to specific funding</i>	Check for individual requirements. May be 20 years +		e.g. ERDF Development Funding
Research Funding Administration	Records documenting the 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	1980 c. 58 s 5	
	Records documenting the preparation and submission of applications for funding, where the application is unsuccessful	Receipt of notification that application was unsuccessful + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	(i.e. does not result in the offer of a funding award).			
Finance records	Records documenting the administration of research grants provided by research councils, charitable funders, overseas funders, corporate sponsors etc.	Termination of grant + 6 years	1980 c. 58 s 5	These documents are included in the joint files for research funding and administration held in REN.
Internal Accounting	Records documenting the processing of internal accounting transactions between operating units (i.e. cross-charges).	Current financial year + 1 year	NA	
Management Accounting	Records documenting analyses of the internal deployment of the institution's financial resources relating to research funding.	Current financial year + 1 year	NA	
Research Conduct	Records documenting the conduct of clinical or public health studies where UEA is the Sponsor under the Research Governance Framework for Health and Social Care	Completion of project + up to 20 years or longer, depending on the risk assessment of the project.	Medicines for Human Use (Clinical Trials) Regulations 2004 <i>as amended</i> + others	Research data will be held by researcher or School. Original documents containing confidential patient data will be held by the NHS Trust(s) involved. UEA as Sponsor is responsible for ensuring that all records are appropriately archived. (REN when CTIMPS, Schools when not.)
	Records documenting the conduct of all other research funded by all other organisations.	Completion of project + 6 years or longer as required by funder	Stated or implied requirements of funder	Research data will be held by researcher or School Individual project records may be held longer depending on Intellectual Property, contracting and licensing requirements.
	Records documenting the conduct and results of formal internal	Current academic year + 5 years	NA	

Activity	Record group	Retention period	Authority	Notes
	reviews of research quality, and responses to the results.			
	Records documenting the development of the institution's internal quality assurance processes.	While current	NA	
Research Reporting	Final versions of publications and presentations made to disseminate research results (NOT interim or final research reports).			Original documents are held by researchers. Duplicates may be included in joint files for research funding and administration. This category does NOT include interim or final reports of research studies, which are covered by RESEARCH - RESEARCH CONDUCT.
	Working papers for the preparation of publications, audio-visual presentations etc. to disseminate research results (NOT interim or final research reports).			Original documents are held by researchers. Duplicates may be included in joint files for research funding and administration. This category does NOT include interim or final reports of research studies, which are covered by RESEARCH - RESEARCH CONDUCT.
Non-Statutory Committee Administration	Records documenting the appointment/election/designation of members of a committee.	Termination of membership + 6 years	1980 c. 58 s 5	Research Exec, Faculty/School Research Committees, Enterprise Exec, Joint Research Office, University Research Ethics Committee and sub-Committees.
	Records documenting the arrangements for meetings of a	Current year + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	committee.			
	Records documenting the conduct of the business of a committee: agenda, minutes and supporting papers.	Life of committee + 5 years	NA	Working notes to be deleted once formal minutes have been approved.
	Records documenting the conduct of the business of a committee: correspondence and other records relating to the preparation of committee business or to actions to be taken (or not taken) as a result of committee decisions.	Current year + 5 years	NA	
	Records documenting the development and establishment of the terms of reference, and the rules and procedures, for a committee.	Life of committee + 6 years	1980 c. 58 s 5	
	Records documenting the development of induction and training programmes for members of a committee.	Until superseded + 3 years	NA	Retaining previous versions provides evidence of effective induction and training over time.
	Records documenting training undertaken by individual members of a committee.	Termination of membership + 6 years	1980 c. 58 ss 2 and 5	
	Records documenting the sponsorship processes under the Research Governance Framework for Health and Social Care.	These should be kept for the period established for each individual project under Research Conduct.		

END