

**Research and Enterprise Records Retention Schedule**

v 1.0 August 2018

	Area	Description of Records	Retention Trigger and Retention Period	Disposal Action	Rationale for Retention Period and Disposal Action	Records Owner
<b>1 Committee and board papers</b>						
1.1	Committee and board papers	Committee papers	Life of committee/group + 6 years	Review	JISC Recommendation	General
1.2	Committee and board papers	QUBIS Board papers	Life of the company	Retain	JISC Recommendation	Commercial Development
<b>2 Directors Office</b>						
2.1	Directors Office	University Strategies, including Research Strategies, Plans, Communications and Reporting	Superseded + 10 years	Review	JISC Recommendation	TBC, Registrar's Office & Director of R&E, Research Development, Research Policy
2.2	Directors Office	Records documenting the development and establishment of the institution's research strategy: key records	Issue of the strategy + 1 year	Destroy	Transfer to the University Archive as it holds historic/research value	Research Development, Research Policy
2.3	Directors Office	Received correspondence with external organisations.	Review annually for relevance.	Review	May hold reference value	Directors Office, KTP, Governance, Consulting, Commercial Development, Research Development
2.4	QUB Research Policies, Procedures, Codes of Practice, Guidelines, Plans	Research Procedures, Policies, Standard Operating Procedures, Codes of Practice, Guidelines, Plans, Standards, Legislation and Regulations - key records.	Superseded + 10 years	Archive	Transfer to the University Archive	Research Policy/Governance
2.5	Research Policy	Internal initiative documents - Records documenting the development and establishment of a scheme such as fellowships, prizes and awards.	Duration of the initiative / scheme + 5 years	Review	May hold reference value	Research Policy
2.6	Research Policy	Records relating to the analysis and preparation of research reports for internal and external submissions.	Superseded + 10 years	Review	May hold reference value	Research Policy
2.7	Research Policy	Records relating to the monitoring of external trends and developments to inform the development of the university's research programmes	End of current financial year + 10 years	Review	Records relate to KTPs (Knowledge Transfer Partnerships), Consultancy, Business Alliance	Director's Office/Research Development/Research Policy/ Faculty Finance/Academic Centres
<b>3 REF - Research Excellence Framework</b>						
3.1	REF - Research Excellence Framework	Final Reports	Date of previous REF + 8 years as long as the next exercise has taken place	Archive	Transfer to the University Archive	Research Support
3.2	REF - Research Excellence Framework	Submissions and other evidence	Date of previous REF + 8 years as long as the next exercise has taken place	Review	May hold reference value	Research Support
<b>4 Research Conduct</b>						
4.1	Research Conduct	Records relating to clinical studies and/or population health studies which document the protocol, the consent procedure, the participants, and adverse effects in all studies for which consent was obtained including CTIMPs -Clinical Trials of Investigational Medicinal Products	Legislative requirements; Funder requirements; Ethics Bodies requirements; QUB Clinical Trials of Investigational Medicinal Products Standard Operating Procedures; QUB Ethics Committees requirements - assessed on a case-by-case basis	Review	Legislative requirements; Funder requirements; Ethics Bodies requirements assessed on a case-by-case basis	Academic Centres/Research Governance
4.2	Research Conduct	Records relating to suspended/terminated research projects relating to CTIMPs - Clinical Trials of Investigational Medicinal Products and health related studies.	Legislative requirements; Funder requirements; Ethics Bodies requirements; QUB Clinical Trials of Investigational Medicinal Products Standard Operating Procedures; QUB Ethics Committees requirements - assessed on a case-by-case basis	Review	QUB Standard Operating Procedure (QUB-ADRE 020) Research Governance, Termination or Suspension of a Research Study, v. 5.0, 18 January 2017	Academic Centres/Research Governance
4.3	Research Conduct	Final Reports of Research Projects	Completion of Project + 5 years	Review	Review for potential archive/historic value	Academic Centres and Research Governance
4.4	Research Conduct	Human Tissue Studies, Samples and related documentation i.e. consent forms	Legislative requirement under Human Tissue Act to keep a record of samples and relevant documentation retained for duration of retention period. Imported samples must have records maintained for 5 years after the sample is disposed of.	Destroy	Legislative requirement under Human Tissue Act to keep a record of samples retained for duration of retention period.	Academics / Research Governance
4.5	Research Conduct	Records documenting the conduct of non-medical research funded by funding bodies	Completion of research study + 5 years (minimum)	Review	Research Funder Retention Requirements take precedence; QUB Code of Conduct and Integrity in Research, v. 3.0, February 2014; QUB Standard Operating Procedure (QUB-ADRE-27): Archiving Research Study Documents, v. 3.0, 23 January 2017; QUB Ethics Committees requirements; potential research/historic value	Academic Centres/Research Governance

Research and Enterprise Records Retention Schedule

v 1.0 August 2018

	Area	Description of Records	Retention Trigger and Retention Period	Disposal Action	Rationale for Retention Period and Disposal Action	Records Owner
4.6	Research Conduct	Records documenting the conduct of research projects funded by the Medical Research Council on 'basic research'	Completion of project + 10 years	Review	MRC Ethics Series, Good Research Practice: Principles and Guidelines, July 2012; QUB Standard Operating Procedure (QUB-ADRE-27); Archiving Research Study Documents, v. 3.0, 23 January 2017; QUB Ethics Committees requirements	Academic Centres/Research Governance
4.7	Research Conduct	Records relating to suspended/terminated research projects - all other types of research	Abandonment of project + 6 years	Review	QUB Standard Operating Procedure (QUB-ADRE-020) Research Governance, Termination or Suspension of a Research Study, v. 5.0, 18 January 2017; Depends on reasons why the project was abandoned	Academic Centres/Research Governance/Research Finance
4.8	Research Conduct	Records documenting the conduct of clinical studies or population health studies funded by the MRC	Completion of project + 20 years minimum	Review	MRC Ethics Series, Good Research Practice: Principles and Guidelines, July 2012; QUB Ethics Committees requirements	Academic Centres/Research Governance
4.9	Research Conduct	Audits and inspection records including HTA and MHRA inspections	Subsequent external regulatory inspection + 5 years	Review	N/A	Research Governance
4.10	Research Conduct	Audits and inspection records of internal team audit reports	End of current year + 5 years	Review	N/A	Research Governance
4.11	Research Conduct	Formal Complaints and query responses	5 years from resolution	Review	N/A	Research Governance
4.12	Research Conduct	Sponsor specific oversight for clinical trials.	Institutional and sponsor records retained as per legislative requirement.	Review	Legislative requirement	Research Governance
4.13	Research Conduct	Faculty RECs - Applications to Faculty REC	Project completion + 5 years on FRC applications	Review	N/A	Research Governance
4.14	Research Conduct	Faculty RECs - Minutes	10 years	Destroy	N/A	Research Governance
4.15	Research Reviews	Records documenting the development of the institution's internal quality assurance processes	While current	Destroy	JISC Recommendation	Director's Office/Governance
4.16	Research Reviews	Records documenting the conduct and results of formal internal reviews of research quality, and responses to the results	End of current academic year + 5 years	Review	JISC Recommendation	Director's Office/Governance
<b>5 Research Development</b>						
5.1	Research Development	Records documenting liaison with research sponsors to monitor their research policies and to promote the institution's capabilities - calls, strategies and development plans	End of current academic year + 5 years	Review	JISC Recommendation	Research Development, Business Alliance
5.2	Research Development	Records documenting the identification and exploration of new research opportunities	Duration of the call + 5 years	Review	Records relate to KTPs (Knowledge Transfer Partnerships), Consultancy, Business Alliance	Research Development/Academic Centres/Research Policy/KTP, Consultancy, Business Alliance
5.3	Research Development	Records documenting the formation and management of partnerships and other collaborative arrangements to undertake research	End of life of partnership/arrangement + 6 years	Review	Limitation (NI) Order 1989; JISC Recommendation; Potential historic/research value; Records relate to KTPs (Knowledge Transfer Partnerships), Consultancy, Business Alliance	Research Development/Academic Centres/Research Policy/KTP, Consultancy, Business Alliance
<b>6 Research Project/Grant Administration</b>						
6.1	Research Project/Grant Administration	Records documenting the administration of research grants	Current financial year + 14 years	Review	Records relate to managing the conduct of research projects from formal initiation (following receipt of funding) to formal completion including funder requirements for Research Data Management	Academic Centres/Research Finance/Research Development
6.2	Research Design and Planning	Records documenting the design and planning of research projects which are undertaken: key records (e.g. Work packages)	Completion of project + 10 years	Review	JISC Recommendation	Academic Centres/Research Development / FF/ RF
6.3	Research Design and Planning	Records documenting the design and planning of research projects which are undertaken: working papers	Completion of project	Destroy	JISC Recommendation	Academic Centres/Research Development / FF/ RF
6.4	Research Funding Applications	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 + 10 years	Review	Requirements of research funders; potential research/historic value	Academic Centres/Research Support
6.5	Research Funding Applications	Records documenting the preparation and submission of applications for funding, where the application is unsuccessful (i.e. does not result in the offer of a funding award) but the application will be re-submitted	Receipt of notification that application was unsuccessful + 5 years	Review	Records maybe referred to if it is decided to reapply for funding	Academic Centres/Research Support
<b>7 Intellectual Property Rights Management</b>						
7.1	Intellectual Property Rights Management	Records documenting the institution's applications for patents and patent certificates	Life of patent + 50 years	Archive	JISC Recommendation	Commercial Development
7.2	Intellectual Property Rights Management	Financial data, Licenced technologies income and costs, Unlicenced patent costs, royalties and costs	Lifetime of the agreements + 6 years	Review	Limitation (NI) Order 1989 and Contractual Obligations	Commercial Development
7.3	Intellectual Property Rights Management	Records documenting applications for renewal of IPR protection, up to the maximum period permitted	Life of patent/End of registration	Review	JISC Recommendation	Commercial Development

Research and Enterprise Records Retention Schedule

	Area	Description of Records	Retention Trigger and Retention Period	Disposal Action	Rationale for Retention Period and Disposal Action	Records Owner
7.4	Intellectual Property Rights Management	Records documenting routine monitoring of third party activity to detect infringements of the institution's IPR	End of current year + 5 years	Destroy	JISC Recommendation	Commercial Development
7.5	Intellectual Property Rights Management	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	Review	JISC Recommendation	Commercial Development
7.6	Intellectual Property Rights Management	Records documenting identified infringements of the institution's IPR, and action taken other than litigation	Last action on case + 6 years	Review	Limitation (NI) Order 1989	Commercial Development
7.7	Research Exploitation	Records documenting the identification of new intellectual property and liaison with specialists regarding applications for patents etc	Lifetime of the case, termination of commercial opportunity + 3 years	Review	Potential research value	Commercial Development
7.8	Research Exploitation	Records documenting 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	Review	Potential research value	Commercial Development
<b>8 Consultancy, Business alliance and Knowledge Transfer</b>						
8.1	Consultancy, Business alliance and Knowledge Transfer	Records relating to engagements with knowledge transfer, business alliance and consultancy programmes including staff and associates involved and organisation details.	Termination of engagement + 6 years.	Review	Limitation (NI) Order 1989	KTP, Business Alliance, Consultancy
8.2	Consultancy, Business alliance and Knowledge Transfer	Fund application documents - Records documenting the preparation and submission of consultancy proposals/tenders: key records.	Termination of contract + 6 years	Review	Limitation (NI) Order 1989	Consultancy
8.3	Consultancy, Business alliance and Knowledge Transfer	Requests for payment and invoices for consultancy and knowledge transfer schemes including project expenses	Current financial year + 14 years	Destroy	Limitation (NI) Order 1989	Consultancy
8.4	Consultancy, Business alliance and Knowledge Transfer	Initiative documents - Records documenting the development and establishment of a scheme: key records.	Superseded + 5 years	Review	Limitation (NI) Order 1989	Consultancy
8.5	Consultancy, Business alliance and Knowledge Transfer	Project & programme documents and timesheets - Records documenting the management of consultancy projects: key records	Termination of contract + 3 years	Review	Common audit requirement	Consultancy
8.6	Consultancy, Business alliance and Knowledge Transfer	Records documenting project deliverables/outcomes: final versions and confirmations of client acceptance.	Termination of contract + 6 years	Destroy	Limitation (NI) Order 1989	Consultancy
<b>9 Business development and communications</b>						
		Event invitations and attendees. Newsletter subscribers.	Withdrawal of consent	Destroy	Consent	Research Development
<b>10 Contracting</b>						
10.1	Contracting	Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties : agreements and contracts under seal (by deed).	Termination of contract + 12 years	Destroy	Limitation (NI) Order 1989	Contracting
10.2	Contracting	Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties : other contracts and agreements.	Termination of contract + 6 years	Destroy	Limitation (NI) Order 1989	Contracting
<b>11 QUB Related Companies</b>						
11.1	QUB Related Companies	Records documenting the oversight and periodic review of the performance including reports of audits or performance against plans, budgets and procedures	End of current year + 5 years	Destroy	JISC Recommendation	Commercial Development
11.2	QUB Related Companies	Board meetings minutes	Life of Company or duration QUB has sharing holding	Archive	JISC Recommendation	Commercial Development
11.3	QUB Related Companies	Board meetings papers	Date of meeting + 6 years	Review	JISC Recommendation	Commercial Development
11.4	QUB Related Companies	Records documenting the winding-up of the company or the disposal of the institution's interest in it	Wind-up/Disposal of company + 6 years	Archive	Limitation (NI) Order 1989; JISC Recommendation	Commercial Development
11.5	QUB Related Companies	Records relating to the formation of the company	End of life of company + 6 years	Archive	JISC Recommendation	Commercial Development

Research and Enterprise Records Retention Schedule

	Area	Description of Records	Retention Trigger and Retention Period	Disposal Action	Rationale for Retention Period and Disposal Action	Records Owner
12	Risk Management	Records documenting identified risks to the institution and assessment of those risks	Superceded + 1 year	Destroy	Central record held by Finance	Directors Office
13	<b>Current Research Information System &amp; Institutional Research Repository</b>					
13.1	Current Research Information System & Institutional Research Repository	Records containing person data of staff and students and their affiliations periods to schools.	Retain	Retain	Required for merging duplicate profiles.	Directors Office
13.2	Current Research Information System & Institutional Research Repository	Research Output records of publications, open research data, research impact and research activities including internal and external authors	Retain	Retain	Research/historic value - details of research carried out by Queen's academics overtime	Directors Office
13.3	Current Research Information System, Institutional Research Repository & Technology Management Systems	Records contain user data of email, first name, last name, username and system unique identifiers for users	Delete former user data after one year	Destroy	Personal user data of former users.	Directors Office
13.4	Current Research Information System, Institutional Research Repository & Technology Management Systems	System universally unique identifiers for persons and external persons	Retain	Retain	Research/historic value - details of research carried out by Queen's academics overtime	Directors Office
13.5	Research Development	Records relating to research opportunity identification matching	One year following end of employment	Destroy	Legitimate interest while a member of staff.	Research Development