The Babraham Institute

BI -RES-006

Version:	1.0
Status:	Active
EIA number:	BI-RES-006-EIA
Review period:	3 years
Last reviewed:	21 July 2021

Last reviewed:	21 July 2021	Next review:	August 2024

Version control

Date	Version	Status	Summary of Changes
21 July 2021	1.0	Active	New in the 2021 Policy Review

Document approval

Define the approval authorities for the document

Document version	Approved by	Position	Date
1.0	Babraham Executive Committee	N/A	21 July 2021

Distribution

Name or Group	Date of issue	Version
All staff and associates	26 July 2021	1.0

Associated policies, procedures and guidance

This policy should be read in conjunction with:

BI-RES-001 Authorship Policy
BI-IM-002 Data Protection Policy
BI-IM-003 Information Classification & Security Policy
BI-KEC-001 Intellectual Property Policy
BI-RES-005 Research Integrity Policy
BI-COR-004 Business Continuity Plan
Record Retention Policy (to follow)
BI-RES-008 Research Data Management Policy
Guidelines for the use of Laboratory Notebooks, available on the H&S pages of The Hub

BI-RES-

1.   Definitions

All records relating to the conduct of the project, including those that document the management of the research funds and the intellectual property. Research records typically include:

> All correspondence with granting agencies, institutions and collaborators.
> Funding records and correspondence relating to the grant financial records, purchasing records, scope of work, budgets, and service records.
> Approved protocols with all approved modifications for animal or human research, animal health records, surgical or treatment records, and breeding records.
> Records of research conduct, research quality and project management.

Information in digital, computer-readable or paper-based format that:

> Is contained or presented in various ways, including notes, facts, figures, tables, images (still and moving), audio or visual recordings; and
> Which

Appendix 1 – Research Records Retention Schedule
V

	development of the institution's research programmes.		
Research business development	Liaison with research sponsors to monitor their research policies and to promote the institution's capabilities.	Mid-term review. Funders' audits	Current year + 5 years
Research business development	Records documenting the identification and exploration of new research opportunities which lead to research projects	Horizon scanning documents	Completion of project
Research business development	Records documenting the identification and exploration of new research opportunities which do not lead to research projects.		Last action + 5 years
Research business development	Records documenting the formation and management of partnerships and other collaborative arrangements to undertake research.	Collaboration Agreements	Life of partnership/arrangement + 6 years
Research design and Planning	Records documenting the design and planning of	IAE application	Permanent abandonment of plans + 1 year

	research projects which are not undertaken.		
Research design and Planning	Records documenting the design and planning of research projects which are undertaken: key records.	IAE application	Completion of project + 10 years
Research design and Planning	Records documenting the design and planning of European Union (EU) funded research projects which are undertaken: key records.	EU Grant applications	Minimum retention: Date of last funding payment + 10 years
Research funding administration	Preparation and submission of applications for funding, where the application is unsuccessful (i.e., does not result in the offer of a funding award).		

Conduct & monitoring

Research quality and standards management	Records documenting the development of the institution's internal quality assurance processes.	Quality Assurance Audits	When superseded + 5 years	
Research quality and standards management	Conduct and results of formal internal and external reviews of research quality, and responses to the results.		Current academic year + 5 years	
Research project management	Records documenting the management of internally-funded research projects.	Financial data, Expenditure Statements	Completion of project + 3 years	
Research project management	Records documenting the management of externally-funded research projects.		Completion of project + 6 years	Limitation Act 1980 c. 58 s 5 A longer retention period for these records may be required by a research sponsor.
Research project management	Records documenting the management of European Union (EU)-funded research projects.	Financial data, Expenditure Statements, Timesheets	Date of last funding payment + 10 years	See ERDF website and individual project agreements with funding bodies. Interreg Europe Programme Manual, 19 December 2018 (version 6)
Research conduct	Records documenting the conduct of research funded by the Medical Research Council, except where other		Completion of project + 10 years	Medical Research Council, Good Research Practice, section 5.2

	work undertaken by research students.
Research programme assessment	Records documenting awards and classifications, including reviews in response to notifications of mitigating circumstances or academic appeals.