## A Teaching & Research

## 2 Research

The function of undertaking research and delivering the institution’s supervised research programmes.

### 2.1 Research Strategy Development

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| **Description** |  | **Retention Period** |  | **Notes** |
| Records documenting the development and establishment of the institution's research strategy. |  | Superseded + 10 years |  | Review for archival value  Consult Records Manager before disposal |

### 2.2 Research Planning

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| **Description** |  | **Retention Period** |  | **Notes** |
| Records documenting the formulation of plans for the implementation of the institution's research strategy. |  | Superseded + 10 years |  | Review for archival value  Consult Records Manager before disposal |

### 2.3 Research Performance Management

The activities involved in managing the institution’s performance against the plans for implementing its research strategy.

Activities include: developing performance indicators and measurement mechanisms; measuring, monitoring and analysing performance; conducting formal reviews of performance and responding to the results, including preparing and implementing action plans to address under-performance or other issues raised; reporting on the institution’s overall research performance to internal and external stakeholders.

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| **Description** |  | **Retention Period** |  | **Notes** |
| Records containing data on, and analyses of, performance against the plans for the implementation of the institution's research strategy. |  | Current academic year + 1 year |  |  |
| Records containing reports of performance against the plans for the implementation of the institution's research strategy. |  | Current academic year + 10 years |  | Review for archival value  Consult Records Manager before disposal |
| Records documenting the conduct and results of audits and reviews of the research function, and responses to the results. |  | Current academic year + 10 years |  | Review for archival value  Consult Records Manager before disposal |

### 2.4 Research Policy Development

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| **Description** |  | **Retention Period** |  | **Notes** |
| Records documenting the development and establishment of the institution's research policies. |  | Superseded + 10 years |  | Review for archival value  Consult Records Manager before disposal |

### 2.5 Research Procedures Development

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| **Description** |  | **Retention Period** |  | **Notes** |
| Records documenting the development and establishment of the institution's research procedures. |  | Superseded + 10 years |  | Review for archival value  Consult Records Manager before disposal |

### 2.6 Research Quality & Standards Management

The activities involved in managing the overall quality and standards of research and research programmes undertaken in the institution.

Activities include: developing and implementing internal quality assurance processes for research and the development and delivery of research programmes; conducting formal internal reviews of research quality and standards and responding to the results, including preparing and implementing action plans to address issues raised; facilitating and participating in external reviews and audits of research quality and standards conducted by statutory and other official bodies and responding to the results, including preparing and implementing action plans to address issues raised or to meet specific requirements.

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| **Description** |  | **Retention Period** |  | **Notes** |
| Records documenting the development of the institution's internal quality assurance processes. |  | While current |  | Review for archival value  Consult Records Manager before disposal |
| Records documenting the conduct and results of formal internal reviews of research quality, and responses to the results. |  | Current academic year + 5 years |  | Review for archival value  Consult Records Manager before disposal |
| Records documenting the conduct and results of external reviews and audits of research quality and standards. |  | Current academic year + 5 years |  | Review for archival value  Consult Records Manager before disposal |

### 2.7 Research Business Development

The activities involved in promoting the institution’s research capabilities and profile and developing new research opportunities.

Activities include: liaising with research sponsors to monitor their research policies and objectives and to promote the institution’s research capabilities, projects and achievements; identifying and developing new research opportunities; identifying and targeting research funding opportunities; identifying and developing opportunities for collaboration and partnership to undertake research.

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| **Description** |  | **Retention Period** |  | **Notes** |
| Records documenting liaison with research sponsors to monitor their research policies and to promote the institution's capabilities. |  | Current academic year + 5 years |  |  |
| Records documenting the identification and exploration of new research opportunities which lead to research projects. |  | Completion of project |  | Review for archival value  Consult Records Manager before disposal |
| Records documenting the identification and exploration of new research opportunities which do not lead to research projects. |  | Last action + 5 years |  |  |
| Records documenting the formation and management of partnerships and other collaborative arrangements to undertake research. |  | Life of partnership/arrangement + 6 years |  | [Limitation Act 1980 c.58](http://www.legislation.gov.uk/ukpga/1980/58)  Review for archival value  Consult Records Manager before disposal |

### 2.8 Research Project Development

The activities involved in developing ideas for research into formal project proposals.

Activities include: generating, capturing and developing ideas for research projects; defining research aims and objectives; designing research methods and tools; identifying and addressing legal, compliance and ethical issues relevant to proposed projects; determining requirements for project resources; preparing formal project proposals; obtaining institutional approval for project proposals; obtaining approval and funding for proposed projects from the institution or from external sources through grants or other awards or contracts.

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| **Description** |  | **Retention Period** |  | **Notes** |
| Records documenting the design of research projects and the preparation of formal research project proposals which lead to research projects. |  | Completion of project + 5 years |  | Review for archival value  Consult Records Manager before disposal |
| Records documenting the design of research projects and preparation of formal research project proposals which do not lead to research projects. |  | Last action + 5 years |  | Review for archival value  Consult Records Manager before disposal |

### 2.9 Research Project Conduct

The activities involved in conducting research. Activities will vary according to the nature of the research, but are likely to include: collecting, collating and analysing data; generating and presenting results.

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| **Description** |  | **Retention Period** |  | **Notes** |
| Research records and data from non-clinical and non-public health research projects |  | Follow funder requirements.  If there are no funder requirements retain for a **minimum period** of 5 years after the end of the project\* or after publication of any findings based upon the data (whichever is later) ‡.  \**End of project is defined as completion of project closure report or publishing of final articles.* |  | If any patents emerge from the research, the records and data may need to be retained for a longer period  *For further advice on research data management see the* [*staff*](https://intranet.cardiff.ac.uk/staff/research-support/research-data-management) *or* [*student*](https://intranet.cardiff.ac.uk/students/study/postgraduate-research-support/managing-and-sharing-your-data/introduction-to-research-data-management) *intranet pages.* |
| Research records and data from clinical† or public health research projects **not including clinical trials of investigational medicinal products**  (for clinical trials records retention, please see University or Centre for Trials Research Archiving Standard Operating Procedure available in Q-Pulse system. For access to Q-Pulse system please contact Governance team in Research & Innovation Services)  †*Clinical research is defined as projects involving human participants that intend to add to medical knowledge.* |  | Follow any funder requirements.  If there are no funder requirements retain for a **minimum period** of 15 years after the end of the project\* or after publication of any findings based upon the data (whichever is later) ‡.  *\*End of project is defined as completion of project closure report or publishing of final articles.* |  |

‡These retention periods relate to research undertaken by **all staff and students**. Where projects undertaken by undergraduates or postgraduate taught students **do not** contribute to a publication or wider research project, research records and data may be held for a **minimum** of 1 year after submission to cover any appeals or student conduct procedures. It is the University’s expectation that in these circumstances research records and data will be retained by the students themselves unless the records and data are caught by Data Protection legislation, in which case the research records and data will be held within the University’s storage.

It is the University’s expectation that raw data containing personal information identifying human participants (for example original questionnaires and audiotapes) will be retained for the full retention period in order to demonstrate good research conduct, unless stringent measures have been taken to verify and ensure the integrity of anonymised records and data or where personally identifiable information is not required to support the research. In these circumstances, the researcher **must** take the necessary steps to remove the personal data.

### 2.10 Research Project Management

The activities involved in managing the conduct and progress of research projects from formal initiation to formal completion.

Activities include: monitoring and tracking progress; managing project staff; managing project budgets; managing procurement of equipment, consumables and third party services; managing project data and records; producing reports for project stakeholders; ensuring compliance with institutional research policies and procedures; ensuring compliance with legislation, standards and procedures; ensuring compliance with the conditions of any licences or registrations; ensuring compliance with the terms and conditions of grants or other funding awards; ensuring compliance with the terms of sponsor contracts by all parties.

For recruiting research students, use 3.6 Student Administration – Student Recruitment.

For recruiting contract research staff, use 29.7 Personnel Management – Workforce Recruitment or 35.9 Procurement – Purchasing Administration, depending on the terms of employment.

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| **Description** |  | **Retention Period** |  | **Notes** |
| Records documenting the management of internally-funded research projects. |  | Completion of project + 3 years |  |  |
| Records documenting the management of externally-funded research projects***, except where funded by European Structural Funds (see below)*** |  | Completion of project + 6 years unless a longer period is required by sponsor contract |  | [Limitation Act 1980 c.58](http://www.legislation.gov.uk/ukpga/1980/58) |
| Records documenting the management of research projects funded by European Structural Funds including ERDF, ESF, EAGGF, FIFG and KEF in the 1994-1999 funding programme. |  | Destroy |  | Article 38(6) of EC regulation 1260/1999 |
| Records documenting the management of research projects by European Structural Funds in the 2000-2006 funding programme. |  | Destroy |  | Article 38(6) of EC regulation 1260/1999 |
| Records documenting the management of research projects by European Structural Funds including ERDF, ESF, EAGGF, FIFG and A4B in the 2007-2013 funding programme. Refer to WEFO Guidance Note Preparing for Project Closure: Best Practice Guide, Version 2  (28th January 2015) <http://gov.wales/docs/wefo/publications/150421projectclosureguidanceen.pdf> . |  | Payment of final balance of structural funds by the EC + 3 years (Destroy 31 Dec. 2024, confirm with WEFO before destruction). |  | Article 38(6) of EC regulation 1260/1999 |
| Records documenting the management of research projects by European Structural Funds in the 2014-2020 funding programme. |  | In line with [Welsh Government Guidance](https://eur03.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.gov.wales%2Feu-structural-funds-2014-2020-project-closure-faqs-html&data=05%7C01%7CBlackwellRM%40cardiff.ac.uk%7C1ce06277c68f4f6c9ba508dae1d9c66e%7Cbdb74b3095684856bdbf06759778fcbc%7C1%7C0%7C638070622686966880%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000%7C%7C%7C&sdata=ORmhBbamqtYBwZIT9NAL6LupAzZuVizo4Nz4HPU5kpo%3D&reserved=0) for compliance with Article 140 of Regulation 1303/2013.  **Do not destroy** without authorisation from Research & Innovation Services |  | Article 140 of Regulation 1303/2013 |
| Final reports of all research projects |  | Completion of project + 5 years |  | Review for archival value  Consult Records Manager before disposal |

### 2.11 Research Dissemination

The activities involved in publicising and disseminating research results.

Activities include: preparing announcements of research results; preparing papers for publication, audio-visual presentations, demonstrations or other means of disseminating research results; liaising with specialist staff regarding the production and distribution of publications and the organisation of events.

For designing, producing and distributing publications, use 14.6 Publishing – Publication Management.

For organising events to disseminate research results, use 8.7 Public Relations Management – Public Relations Event Management or 10.7 HE Sector Relations Management – HE Sector Relations Event Management, depending on the target audience.

For issuing announcements of research results through the print or broadcast media, use 9.6 Media Relations Management – Media Communication Management.

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| **Description** |  | **Retention Period** |  | **Notes** |
| Records documenting announcements of research results other than in publications or through the media. |  | Issue of announcement + 1 year |  |  |
| Records documenting the preparation of publications, audio-visual presentations, demonstrations or other means of disseminating research results. |  | Publication / Delivery + 1 year |  |  |
| Final versions of publications, presentations etc. |  | Publication / Delivery + 3 years |  | Review for archival value  Consult Records Manager before disposal |

### 2.12 Research Exploitation

The activities involved in developing the commercial potential of research results.

Activities include: identifying new intellectual property and liaising with specialist staff to register patents and designs; identifying opportunities for commercial collaboration/partnerships and liaising with specialist staff to establish spin-out companies to develop commercial products.

For protecting new intellectual property, use 31.6 Intellectual Property Management – Patent Management.

For setting up ‘spin-out’ companies to exploit the commercial potential of research, use 5.7 Related Companies Management – Related Company Formation.

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| **Description** |  | **Retention Period** |  | **Notes** |
| Records documenting the identification of new intellectual property and liaison with specialists regarding applications for patents etc. |  | Last action on issue + 5 years |  | Review for archival value  Consult Records Manager before disposal |
| 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 for archival value  Consult Records Manager before disposal |

### 2.13 Research Programme Development

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| **Description** |  | **Retention Period** |  | **Notes** |
| Records documenting the development of the institution's research programmes. |  | Life of programme + 10 years |  | Review for archival value  Consult Records Manager before disposal |
| Records documenting routine monitoring of external developments and trends to inform the development of the institution's research programmes. |  | Current academic year + 1 year |  |  |

### 2.14 Research Programme Review

The activities involved in reviewing research programmes to inform ongoing programme development

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| **Description** |  | **Retention Period** |  | **Notes** |
| Records containing data on, and analyses of, student numbers and other programme statistics. |  | Current academic year + 3 years |  |  |
| Records containing reports of routine internal reviews of research programmes. |  | Current academic year + 5 years |  | Review for archival value  Consult Records Manager before disposal |
| Records documenting the conduct and results of formal independent reviews of research programmes, and the responses to the results. |  | Current academic year + 5 years |  | Review for archival value  Consult Records Manager before disposal |

### 2.15 Research Student Assessment

The activities involved in conducting formal assessments of work undertaken by research students.

Assessments include formal progress assessments and final examination of theses.

Activities include: conducting assessments; grading assessments; conducting examiners’ meetings; determining awards and classifications.

For servicing of examiners’ meetings, use 3.16 Student Administration - Assessment Administration.

For handling appeals against the results of assessments, including reviewing of original results, use 3.13 Student Administration – Academic Appeal Handling.

For handling formal complaints by students about academic matters other than the results of assessments, use 3.14 Student Administration – Student Complaint Handling.

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| **Description** |  | **Retention Period** |  | **Notes** |
| Records documenting the conduct of formal assessments of work undertaken by research students. |  | Completion of student's programme + 6 years |  | [Limitation Act 1980 c.58](http://www.legislation.gov.uk/ukpga/1980/58) |
| Records documenting awards and classifications, including reviews in response to notifications of mitigating circumstances or academic appeals. |  | Current academic year + 6 years |  | [Limitation Act 1980 c.58](http://www.legislation.gov.uk/ukpga/1980/58) |

### 2.16 Research Student Academic Supervision & Support

The activities involved in supervising and supporting work undertaken by research students, and monitoring progress.

Activities include: appointing supervisors for research students; providing advice to research students on the selection of research subjects; providing advice and guidance to research students in the course of their work; providing advice and guidance to research students regarding alterations to periods of study; providing advice and guidance to research students whose progress is unsatisfactory; providing advice and guidance to research students who are considering suspending or terminating their studies; providing training for research students in research-related skills and providing other development opportunities such as seminars and events.

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| **Description** |  | **Retention Period** |  | **Notes** |
| Records documenting the appointment of supervisors for research students. |  | Termination of appointment + 1 year |  |  |
| Records documenting academic advice and guidance to individual students on the selection of research subjects and on the progress and standard of their work. |  | Completion of student's programme + 6 years |  | [[Limitation Act 1980 c.58](C:\\Users\\wamjia.X00224DA56D29.009\\AppData\\Local\\Microsoft\\Windows\\Temporary Internet Files\\Content.Outlook\\CN4ZK0HY\\RRS Web docs\\index.cfm?name=srl_rrs_apdx_a" \l "apdxA_act1980c58)](http://www.legislation.gov.uk/ukpga/1980/58) |
| Records documenting the development and delivery of training in research-related skills. |  | Current academic year + 5 years |  |  |