



07 PROJECT RECORDS

University Retention Schedule

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7.1. Project Management

7.1.1. University Projects (managed under a formal framework, e.g. Agile or PRINCE2)

| RECORD CATEGORY | FORMAT | RETENTION PERIOD BEGINS | PROJECT OWNER (DEPT) RETENTION PERIOD | DISPOSAL ACTION | RATIONALE | NOTES | MASTER SHOULD BE STORED IN | HISTORICAL INFO | PUBLICATION INFO | RAG STATUS |
|---|--------|-------------------------|---------------------------------------|-----------------|-----------|--|----------------------------|-----------------|------------------|------------|
| Project management documentation | E | Closure of project | 5 years | Delete | | Examples: reports, surveys, briefs, background papers, Project Initiation Documents, financial plans, risk logs, communications plans, business cases, statements of requirements, stage plans, issue logs, end stage reports, highlight reports, checkpoint reports, exception reports, reviews For procurement records, see Retention Schedule – 5 Finance Records > Procurement | eRecords System | N/A | Not published | |
| Closure reports and lessons learnt | E | Closure of project | 10 years* | Delete | | * or until IT system is replaced, if longer | eRecords system | N/A | Not published | |
| Feasibility, analysis, proposals for projects that are not approved | E | Last action | 5 years | Delete | | Examples: reports, surveys, briefs, background papers | eRecords System | N/A | Not published | |
| Project initiation documentation for projects that are not executed | E | Last action | 5 years | Delete | | Examples: Project Initiation Documents, financial plans, risk logs, communications plans, business cases, statements of requirements | eRecords System | N/A | Not published | |

7.1.2. Local Projects (not managed under a formal framework)

| RECORD CATEGORY | FORMAT | RETENTION PERIOD BEGINS | PROJECT OWNER (DEPT) RETENTION PERIOD | DISPOSAL ACTION | RATIONALE | NOTES | MASTER SHOULD BE STORED IN | HISTORICAL INFO | PUBLICATION INFO | RAG STATUS |
|-------------------------|--------|-------------------------|---------------------------------------|-----------------|-----------|--|----------------------------|-----------------|------------------|------------|
| Monthly project reviews | E | End of academic year | 1 year | Delete | | | Google Drive | N/A | Not published | |
| Project documentation | E | Closure of project | 5 years | Delete | | These may not always be called “projects”, but they will be a discrete piece of work to achieve set goals, separate from business as usual activity. | K:drive | Various | Not published | |

7.2. Estates Capital Projects

| RECORD CATEGORY | FORMAT | RETENTION PERIOD BEGINS | ESTATES RETENTION PERIOD | DISPOSAL ACTION | RATIONALE | NOTES | MASTER SHOULD BE STORED IN | HISTORICAL INFO | PUBLICATION INFO | RAG STATUS |
|---|--------|-------------------------|--------------------------|-----------------------|---|--|----------------------------|-----------------|------------------|------------|
| Bills of quantity | P/E | Completion of project | 15 years | Destroy | Limitation Act 1980; Latent Damage Act 1986 JISC recommendation | Not all projects have bills of quantity and it is becoming increasingly rare | Project file | N/A | Not published | |
| Specifications | P/E | Completion of project | 15 years | Destroy | Limitation Act 1980; Latent Damage Act 1986 JISC recommendation | Any information of this type required for longer will be part of the O&M manuals | Project file | N/A | Not published | |
| Project meeting minutes and supporting papers | E | Completion of project | 15 years | Delete | Limitation Act 1980; Latent Damage Act 1986 | For example: design team meetings; site progress meetings | Project file or K:drive | N/A | Not published | |
| Surveys and inspections | P/E | Property sold† | N/A | Transfer to new owner | | | Project file | N/A | Not published | |

† In the unlikely event of the building being demolished. Retain for 12yrs (40yrs if it contained asbestos) from the date of demolition and then consider archiving.

7.3. Research & Innovation Projects

7.3.1. Research and Innovation Proposals and Funding Bids

7.3.1.1. Unsuccessful Proposals – where the proposal is *not* likely to be re-submitted

| RECORD CATEGORY | FORMAT | RETENTION PERIOD BEGINS | FACULTY FINANCE RETENTION PERIOD | FINANCE DEPT RETENTION PERIOD | DISPOSAL ACTION | RATIONALE | NOTES | MASTER SHOULD BE STORED IN | HISTORICAL INFO | PUBLICATION INFO | RAG STATUS |
|--|--------|-------------------------|----------------------------------|-------------------------------|-----------------|-----------|-------|---|-----------------|--|------------|
| Initiation records & unsuccessful funding bid records (externally funded) | P/E | Abandonment of proposal | | 1 year | Destroy | | | Finance filing cabinets – pre-award files | FileStore | Most info published as part of the bid | |
| Initiation records & unsuccessful funding bid records (Self or UoP funded) | P/E | Abandonment of proposal | 1 year | | Destroy | | | | | | |

7.3.1.2. Unsuccessful Proposals – where the proposal is likely to be re-submitted

| RECORD CATEGORY | FORMAT | RETENTION PERIOD BEGINS | FACULTY FINANCE RETENTION PERIOD | FINANCE DEPT RETENTION PERIOD | DISPOSAL ACTION | RATIONALE | NOTES | MASTER SHOULD BE STORED IN | HISTORICAL INFO | PUBLICATION INFO | RAG STATUS |
|--|--------|-------------------------|----------------------------------|-------------------------------|-----------------|-----------------------------------|-------|---|-----------------|--|------------|
| Initiation records & unsuccessful funding bid records (externally funded) | P/E | Abandonment of proposal | | 5 years | Destroy | To be available for re-submission | | Finance filing cabinets – pre-award files | FileStore | Most info published as part of the bid | |
| Initiation records & unsuccessful funding bid records (Self or UoP funded) | P/E | Abandonment of proposal | 5 years | | Destroy | To be available for re-submission | | | | | |

7.3.1.3. Successful Proposals – externally funded

| RECORD CATEGORY | FORMAT | RETENTION PERIOD BEGINS | FINANCE DEPT RETENTION PERIOD | R&IS RETENTION PERIOD | DISPOSAL ACTION | RATIONALE | NOTES | MASTER SHOULD BE STORED IN | HISTORICAL INFO | PUBLICATION INFO | RAG STATUS |
|---|--------|---|-------------------------------|-----------------------|-----------------|--|---|---|-----------------|------------------|------------|
| Initiation records & successful funding bid records | P/E | Completion of project OR final payment (whichever is the greater) | 10 years* | | Destroy | To provide evidence that the project was initiated in a proper manner Limitation Act 1980 EU funding requirements REF requirements JISC recommendation | * Or duration of the relevant REF period, if longer (the REF may now require records going back 20 years) | Finance filing cabinets – project files | FileStore | | |
| Contracts | E | Termination of contract | | 10 years* | Destroy | Limitation Act 1980 REF requirements | * Or duration of the relevant REF period, if longer (the REF may now require records going back 20 years) | eRecords System | | | |

7.3.1.4. Successful Proposals – self or UoP funded

| RECORD CATEGORY | FORMAT | RETENTION PERIOD BEGINS | FACULTY FINANCE RETENTION PERIOD | DISPOSAL ACTION | RATIONALE | NOTES | MASTER SHOULD BE STORED IN | HISTORICAL INFO | PUBLICATION INFO | RAG STATUS |
|---|--------|-------------------------|----------------------------------|-----------------|--|---|----------------------------|-----------------|------------------|------------|
| Initiation records & successful funding bid records | P/E | Completion of project | 10 years* | Destroy | To provide evidence that the project was initiated in a proper manner Limitation Act 1980 EU funding requirements REF requirements JISC recommendation | * Or duration of the relevant REF period, if longer (the REF may now require records going back 20 years) Ethics committee will have archive of items submitted to the committee | | | | |

7.3.2. Research & Innovation Data and Related Project Documentation

NB: The term “Data Steward” is defined within the Research Data Management Policy.

This covers academic research carried out by staff and for postgraduate degrees by research (e.g. research Masters theses (MPhil, MRes) and doctoral-level research). All other research for undergraduate and postgraduate taught course assessments is covered by [Retention Schedule – 11 Student and Course Records > 11.6.2 Assessed Work](#).

| RECORD CATEGORY | FORMAT | RETENTION PERIOD BEGINS | DATA STEWARD RETENTION PERIOD | DISPOSAL ACTION | RATIONALE | NOTES | MASTER SHOULD BE STORED IN | HISTORICAL INFO | PUBLICATION INFO | RAG STATUS |
|---|--------|---|-------------------------------|-----------------|--|---|----------------------------|-----------------|--|------------|
| Financial records | P/E | Completion of project OR final payment (whichever is the greater) | 10 years* | Destroy | VAT Act 1994; Limitation Act 1980 EU funding requirements REF requirements JISC recommendation | | With the Data Steward | N/A | Not published | |
| Data and documentation, including consent forms etc | P/E | Completion of project OR the publication date of any Research findings based upon the Research Data OR date of last access (whichever is the later) | 10 years* | Review | | Refer to Research Data Management Policy Includes the research data itself, and also consent forms, the protocol, ethical review forms, health and safety records, a list of participants (unless the study used anonymisation procedures), progress reports, and records of any adverse effects | With the Data Steward | N/A | Anonymised data sets supporting final publication – PURE or subject repository where appropriate (Previously PARADE) | |

* **It is important to note that 10 years is a minimum requirement.** If research is funded by and external funder (e.g. a research council), then the requirements of that funder supersede the 10 years data retention requirement. Researchers must consult with their funder for detailed advice on exactly how long to retain their raw and analysed research data (for example, the Medical Research Council will often require 20 or 30 years retention). In all cases, consideration must be given to the requirements of the General Data Protection Regulation (GDPR) and the Data Protection Act 2018 and, for data held in electronic form, the need to protect data from digital obsolescence. Wherever possible electronic data should be held in open-source, lossless file formats (e.g. PDF, TIFF, CSV etc). The Data Steward is responsible for ensuring the secure storage of the research data.

As a rule, project documentation (such as ethical clearance forms, reports, consent forms, health & safety records) should be retained in line with the research data. To save space and aid searching, it is recommended that consent forms are scanned, checked and stored electronically. However, before disposing of such documents, it is advisable (particularly in regard to health & safety) to check that further retention is not required. Information on the retention of health & safety records can be found in [Retention Schedule – 08 Risk Management](#). The retention of records pertaining to intellectual property rights and research contracts can be found in [Retention Schedule – 10 Strategy & Governance](#).

Further, more detailed advice on the archiving of research can be found in the Research Data Management Policy.

Note on the Limitation Act: If your research involves children under the age of 18, records should be retained until the youngest child involved is deemed to have reached 24 yrs of age (e.g. if the study focused on teenagers, the youngest child would have been at least 13 yrs old at the time of participation and therefore the retention period would be 11 yrs). Where the age of the youngest child cannot reliably be calculated, the assumption must be that the youngest child was a new-born at the time of participation.

7.3.3. Published Research

Published research refers to the finalised versions of publications and presentations that disseminate research results. There may be requirements to provide a final report or write up for other purposes, such as:

- The ethics committee requires a final report for self or UoP funded projects.
- The NHS will require a final report for projects concerning the NHS.
- Funding councils may require a write up (especially for contracted work).

Publication of research may be governed by the requirements of funding councils and researchers are advised to consult with their funding council for further guidance on publication. Academics are required to adhere to the University’s Open Access Policy. This policy requires journal and conference articles (accepted for publication from 2014 onwards) to be archived and stored in the Pure system for an indefinite (long term) length of time. There is no set retention schedule, but Data Stewards are advised to retain a copy of any published research, final reports, or write ups for at least as long as the associated data and project related documentation.

Doctoral theses are held by the University Library as a condition of the award. For further information on student post-graduate and doctoral research theses, see [Retention Schedule – 11 Student and Course Records > Assessments](#).

| RECORD CATEGORY | FORMAT | RETENTION PERIOD BEGINS | DATA STEWARD RETENTION PERIOD | RESEARCH OUTPUTS RETENTION PERIOD | DISPOSAL ACTION | RATIONALE | NOTES | MASTER SHOULD BE STORED IN | HISTORICAL INFO | PUBLICATION INFO | RAG STATUS |
|--|--------|-------------------------|-------------------------------|-----------------------------------|-----------------|---|-------|----------------------------|-----------------|------------------|------------|
| Journal and conference articles (accepted for publication from 2014 onwards) | E | Completion of project | | Permanent | N/A | Review will seek to establish need for further retention beyond the initial period (e.g. has the research been accessed recently?). If further review is justified a new future review date will be set in Pure system. | | Pure system | | Yes – via Pure | |
| Working papers and draft versions | P/E | Completion of project | 1 year | | Destroy | JISC recommendation | | With the Data Steward | N/A | | |