



REPUBLIQUE DU BENIN
MINISTERE DE L'ENSEIGNEMENT SUPERIEUR ET DE LA RECHERCHE SCIENTIFIQUE
UNIVERSITE D'ABOMEY-CALAVI

CENTRE DE RECHERCHE POUR LA LUTTE CONTRE LES MALADIES INFECTIEUSES TROPICALES (CReMIT)/
TROPICAL INFECTIOUS DISEASES RESEARCH CENTER (TIDRC)

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RECORD RETENTION POLICY

VERSION 1.0

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TIDRC/UAC RESEARCH GRANTS MANAGEMENT OFFICE

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1.0 Background

The TIDRC/UAC through its Office of Research and Grants Management (RGMO) is tasked with coordinating research grants activities. This responsibility requires documentations of various processes; however, there is no policy to guide how these documents should be retained. It is therefore essential to develop a policy aligned with the Center's core values to address this gap.

2.0 Guiding Principle

For the purpose of this policy, research data and materials include recorded, tangible and intangible information, regardless of form or the medium, that are created or collected in the course of conducting research. This includes research supported by TIDRC/UAC resources or external funds. Research data and materials include but not limited to:

- Digital and software assets: Computer software (programs, databases, and related documentation),
- Biological and chemical materials: Materials such as unmodified and modified biological specimens, new or modified chemical entities, cell lines,
- Documentation and notes: Laboratory notebooks, notes of any kind, approved submissions to oversight committee including applications, outreach/ advertising materials, consent forms, survey routines/ questionnaires and debriefing scripts),
- Media and visual records: photographs, films, audio recordings, digital images;
- Experimental outputs: gels, spectra, reagents, protocols, algorithms, graphs, charts, numerical raw experimental results, instrumental outputs;
- Deliverables: Any deliverable under sponsored agreements; intangible data such as statistics, findings, conclusions, and any other records, or in any form that could be used for reconstruction and evaluation of reported or otherwise published results of research;
- Environmental and biological samples: original or modified biological and environmental samples.

3.0 Aims and objectives

The goals of this policy are to:

1. Identify documents that must be retained permanently or temporarily due to international, national or administrative requirements;
2. Provide guidance and clarification on which documents have lasting archival value to TIDRC/UAC and its partner institutions;
3. Provide for the routine and timely disposal of documents which needs not to be retained for legal or administrative reasons.

4.0 Policy Guidelines or intent

The policy guidelines are organized into the following segments:

- i. Personal records
- ii. Institutional records
- iii. Storage of records
- iv. Disposal of non-permanent records

4.1 Personal Records

Documents and materials collected by TIDRC/UAC employees in the course of their research activities that are unrelated to operations are considered personal items and are not owned by the Center. Such items should be distinctly separated from the Center's official records. Personal records include: documents accumulated by individual prior to their involvement in specific project of the Center; Materials pertaining to private, non-center-related activities of the individuals. These materials may be significant to the Center in developing individual personal records.

4.2 Institutional records

Institutional records refer to official documents of the Center that must be preserved or archived or disposed of according to established guidelines. The Director of TIDRC and the head of RGMO has the final authority to determine what constitutes official records. Examples of institutional records include but not limited to:

- research records and datasets,
- official correspondence (internal and external)
- printed materials issued by the Center,
- minutes from meetings, and committee files,
- financial records and associated documentation

A detailed Retention schedule for RGMO records is attached to this policy.

4.3 Storage of the records

Records designed for storage must be securely maintained in designed storage area until they are either archived or disposed of as per the TIDRC/UAC's guidelines.

Key considerations include:

- Designated storage areas: Records should only be stored in spaces approved and equipped for their safekeeping.
- Labeling and organization: All records must be labeled and organized following the procedures established by TIDRC/UAC to ensure easy identification and retrieval.
- Security Measures: Proper measures must be in place to protect stored records from unauthorized access, physical damage, or data loss.

4.4 Disposal of non-permanent Records

Inactive and non-permanent records should be discarded in accordance with the established retention schedule. Confidential information shall be shredded before disposal. Disposal methods should consider environmental sustainability where possible, such as recycling non-confidential paper records.

5.0 Institutional arrangement for implementation

To ensure the effective implementation of this policy, the following arrangements will be established:

5.1 Accessibility

The records will be under the care of the Administrative and Financial Assistant but copies will be kept at the TIDRC/UAC Director/Deputy-Director office. All requests for any information must be approved by RGMO head. All requests must be submitted at least one (1) week in advance.

5.2 Decentralization of access

Research Records will be maintained in the RGMO office, TIDRC research Unit, other office where they are created and used, or in electronic systems managed by the Center. Principal Investigators and other Center offices staff who lead or administer research projects are responsible for establishing or maintaining an organized systems for recording, retaining, accessing, and storing Research Records. They must ensure that these systems are clearly communicated to their research teams and relevant administrative and academic personnel of the Research Unit.

5.3 Procedure for accessibility

An appropriate request form must be completed detailing the specific information or data needed. The completed form should be submitted to the RGMO head for review and approval.

5.4 Filing System

An appropriate system of filing shall be developed and strictly adhered to for organization and management of records. All records must be filed in accordance with the filing procedures and guidelines set by TIDRC/UAC to maintain consistency and order across the institution.

5.5 Security of Records

All documents shall be stored in a well-ventilated, waterproof and fireproof area to ensure their safety and preservation. In addition to physical storage, electronic copies of all important

documents shall also be maintained to provide a backup. Where necessary, an insurance policy may be obtained to protect these documents against potential risks or damage.

6.0 Legal and regulatory framework for implementation

This policy is not intended to replace the Statutes of TIDRC/UAC or the laws of Benin Republic. In the event of any conflict, the constitution of Benin Republic and the Statutes of the Center shall take precedence and be adhered to in accordance with established structures.

This policy shall be reviewed periodically by TIDRC/UAC to ensure its relevance and alignment with legal and regulatory changes.

7.0 Effective dates of Implementation

The effective date of implementation of this policy shall be the date of approval by the Management Committee of the Center.

8.0 Definition of terms

8.1 Permanent inactive records

These include administrative and legal files; office files of principal administrators including correspondence relating to policies or unit operations; committee minutes, proceedings, reports and related files; long-term planning records; annual reports; self-studies; reports.

8.2 non-permanent records

These include routine financial and administrative records such as requisitions; travel expense vouchers; accounting reports; drafts of reports or correspondence; routine acknowledgements such as notifications, requests, transmittals, multiple copies of a single document; convenience copies of publications; reports or memos for non-originating offices; copies of widely distributed documents that have originated in other offices such as policies and procedures files and manuals; publications including announcements, newsletters, programs, brochures, and promotional literature.

8.3 Research Records

These are recorded research information, data and materials, in whatever form or medium that are created or acquired in the process of performing research, whether supported by Center resources or by external sponsors or donors. Research Records also include documents, materials, information and written correspondence that relate to administration and financial management of research, reporting of research results, or sponsored award applications.

References

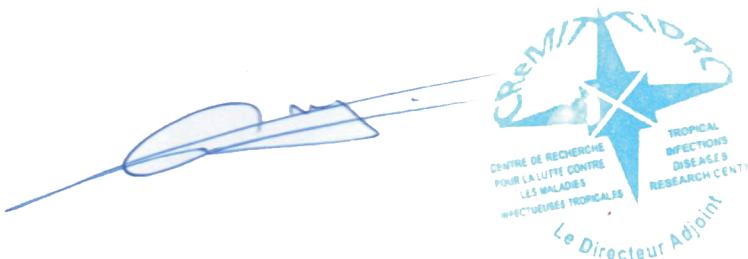
1. Harvard Institute, Retention and maintenance of research; <http://osp.fad.harvard.edu/sites/osp.fad.harvard.edu/files/attachments/1188/retention-and-maintenance-of-research-records-and-data-faqs.pdf>
2. Research Data Security Policy, <http://www.security.harvard.edu/research-data-security-policy>.

DETAILED RETENTION SCHEDULE FOR GRANTS

Document	Retention Period	Filling Location
Employment Records		
Application for Employment	Permanent	RGMO
Resumes	5 years	RGMO
Employee Contracts	Permanent	RGMO
Performance Appraisal	Permanent	RGMO
Certificates/ Transcripts	Permanent	RGMO
Retirement Letters	Permanent	RGMO
Certified Inactive Employees	10 Years	RGMO
Schedules of Employees	10 Years	RGMO
Job Descriptions	5 Years	RGMO
Administrative Records		
Minutes of Meetings	Permanent	RGMO
Annual Reports	Permanent	RGMO
Policies	Permanent	RGMO
Administrative Regulations	Permanent	RGMO
Deeds, Leases Treasurer	Permanent	RGMO
Financial Records		
Payroll Ledgers	Permanent	RGMO
Earnings Register	Permanent	RGMO
Employee annual/ Casual/ Sick Leave records	10 Years	RGMO
Projects Records		
MOUs	Permanent	RGMO
Awards Letter	Permanent	RGMO
Contracts	Permanent	RGMO
Copies of Final Reports	Permanent	RGMO
Proposals	Permanent	RGMO
Research Publications	Permanent	RGMO
Financial Report	Permanent	RGMO

Approval & adoption

This Record Retention Policy version 1.0 is hereby formally approved and adopted as the official policy of the Tropical Infectious Diseases Research Center/University of Abomey-Calavi, effective August 28, 2025.



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