

Carleton University Retention Schedule

Section 9

RESEARCH

Records and data in this category document the university's role in the administration of research, including projects undertaken by faculty, staff, and students. Records in this category include contracts and agreements, proposals, ethics administration, documentation of partnerships and collaborations, as well as awards and prizes to researchers.

Retention Schedule Instructions	2
RES-00 Policies, Procedures and Standards	3
RES-01 Reports and Statistics	4
RES-02 Project and Project Management	5
RES-03 Committees	6
RES-04 Partnerships and Collaboration	7
RES-05 Research Applications and Proposals	8
RES-06 Research Information	9
RES-07 Research Contracts and Agreements	10
RES-08 Research Ethics Board and Management	11
RES-09 Undergraduate & Course Related Ethics Case Files	12
RES-10 Graduate, Post-Graduate, Doctoral Fellows, Faculty & Staff Research Ethics Case Files	13
RES-11 Awards and Prizes to Researchers	14

CORPORATE RECORDS & ARCHIVES

Retention Schedule Instructions

Rule No.	Rule Name	SECTION NAME	Implementation Date
Description			
Description of administrative or operational functions and their key records. Units should contact Corporate Records and Archives if there is concern that the retention rule does not include their records under the function.			
Office of Primary Responsibility			
Identifies the department, unit, or position that has ultimate responsibility for the creation, management, retention, and disposition of the records covered under the rule.			
Retention Summary			
Summary of the length of time you must retain records in this rule after it is no longer active.			
Final Disposition			
How to dispose of the records once the retention period is finished – Archival Review (AR), Destruction (D), or Transfer to Corporate Archives (P). The key at the bottom of this page is on every rule in CURS.			
Retention Rationale			
Explanation for why the retention and disposition is set as it is. Often due to operations but can also include reference to university policy, legislation, or industry requirements.			
Filing Notes/Location			
Additional instructions for retention or disposition or instructions on handling edge cases in the records covered by the rule.			
Secondary Copies			
Instructions for record holders who are not the Office of Primary Responsibility.			
Special Instructions			
<i>Digitization:</i> Any instructions related to the digitization of hard copy records. <i>See also:</i> Pointers to other rules that might be similar/more appropriate for your use.			

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

Description

Consists of records relating to the establishment of department or unit administrative policies, procedures and standards for research activities. Records are associated with the development of decisions, directions, and precedents that act as a reference for future decision-making and as a basis from which the department or unit's operating procedures are determined. Records may include policy proposals, research papers, consultations, reports, final policy documents, operating procedures, and administrative practices.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for minimum 3 years after superseded.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

--

Secondary Copies

Transitory. Destroy when no longer needed for reference or convenience.

Special Instructions

Digitization: --

See also: For *University Policies, Procedures, and Standards*, see **GOV-00**.

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

RES-01	Reports & Statistics	RESEARCH	2023-05
--------	----------------------	----------	---------

Description

Records include reports as well as the supporting documentation and statistics created or used to produce reports related to unit research activities. Does not include external reports and statistics used as reference.

Office of Primary Responsibility

Designated unit.

Retention Summary

Retain in unit for 10 years from creation.

Final Disposition

AR

Corporate Records and Archives will review reports for permanent preservation.

Retention Rationale

--

Filing Notes/Location

--

Secondary Copies

Transitory. Destroy when no longer needed for reference or convenience.

Special Instructions

Digitization: --

See also: --

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

Description

Records made, received, or used by units in support of projects that support research related activities. Records may include correspondence and memoranda, organizational charts, delegation of authority, studies, forms, transaction records, work orders, manuals, briefings, and issue notes.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for 7 years from completion of project.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

Units may discuss and document an alternative retention length for administrative project management records in consultation with Corporate Records and Archives. Contact Corporate Records and Archives for more information.

Secondary Copies

Transitory. Destroy when no longer needed for reference or convenience.

Special Instructions

Digitization: --

See also: --

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

Description

Records documenting the proceedings and actions of standing or ad hoc committees tasked with supporting research activities or projects of the department or unit.

Office of Primary Responsibility

Designated unit.

Retention Summary

Retain in unit for minimum 3 years from creation.

Final Disposition

AR

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Corporate Records and Archives can establish a specific retention schedule for administrative committees and working groups after consulting with the unit responsible. Contact Corporate Records and Archives for more information.

Secondary Copies

Transitory. Destroy when no longer needed for reference or convenience.

Special Instructions

Digitization: --

See also: --

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

Description

Consists of records related to the development, establishment and management of research partnerships and collaborations with other universities, research bodies (both public and private) and corporations. Records may include correspondence, memoranda of understanding (MOU), non-disclosure agreements, protocols, contribution agreements, service agreements, and related intellectual property and licensing agreements.

Office of Primary Responsibility

Office of the Vice-President (Research and International)

Retention Summary

Retain in unit for minimum 7 years from last action.

Final Disposition

AR

Corporate Records and Archives will select materials for possible permanent preservation.

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Research Contracts and Agreements*, see: **RES-07**.

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

RES-05	Research Applications & Proposals	RESEARCH	2017-06
--------	-----------------------------------	----------	---------

Description

Consists of records relating to the submission and administration of proposals for research projects, both internal and external grants, successfully funded and non-funded. May include formal applications, budgets and supporting budget documents, project descriptions, agreements, reporting, biographical information of principal investigator and related researchers, and correspondence.

Office of Primary Responsibility

Office of the Vice-President (Research and International)

Retention Summary

Retain in unit for 7 years from last action.

Final Disposition

AR

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also: --

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

Description

Consists of records relating to administrative records of research projects and potential funding sources. Records may include information or profiles of researchers and correspondence, reference material, and internal or external publications sources.

Office of Primary Responsibility

Unit responsible for researcher(s).

Retention Summary

Retain in unit 7 years from last financial reporting.

Final Disposition

D

Retention Rationale

Retention based on anticipated operational use.

Tri-Council Agreement on the Administration of Agency Grants and Awards by Research Institutions

Filing Notes/Location

Research data generated and held by researchers are outside the scope of this retention schedule. The requirements, in part, are determined by external factors (ie: scholarly journal standards, etc.)

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Research Contracts and Agreements*, see: **RES-07**.

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

Description

Consists of records related to the administration of executed research contracts and agreements, including addenda and amending agreements, preliminary and draft material, transfer agreements, contribution agreements, service contracts, purchase orders, subcontracts, non-disclosure agreements, and pay schedules. May also include licenses and agreements with respect to technology and intellectual property, and related confidentiality and non-disclosure agreements.

Office of Primary Responsibility

Office of the Vice-President (Research and International)

Retention Summary

Retain in unit for 7 years from expiration of contract.

Per the Signing Authorities Policy, units must deposit signed contracts and agreements with the University Secretary upon signing when that contract either (i) has a Total Value that is greater than \$100,000 (ii) the Total Value is less than \$100,001 but the initial term is five years or greater or (iii) potentially exposes the University to a Significant Risk. Units that are responsible for such contracts and agreements generally should retain copies of contract(s) based on anticipated use and CURS.

Final Disposition

AR – Selective retention by Corporate Records and Archives based on thresholds in Signing Authorities Policy.

Retention Rationale

Carleton University Signing Authorities Policy

Filing Notes/Location

Digital contracts, agreements and supporting documentation managed in the database system of the Carleton Office for Research Initiatives and Services (CORIS). Hardcopy versions of records are selected, digitized and uploaded along with born-digital records. Anticipated use is ongoing and selection of records in database is performed by authorized CORIS staff.

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Contracts and Agreements* (non-Research related), see: **ADM-05**.

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

Description

Consists of records documenting the support of the activities and deliberations of the Carleton University Research Ethics Board (CUREB), the Animal Care Committee, and the Biohazards Committee. May include minutes, agendas, membership information, protocols and procedures, correspondence, reference materials, approval records from Animal Care Committee and Biohazards Committee, reports, and studies.

Office of Primary Responsibility

Office of Research Ethics

Retention Summary

Retain in unit for 7 years from last action.

Final Disposition

AR

Retention Rationale

Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (2014)

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also: --

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

RES-09	Undergraduate & Course Related Ethics Case Files	RESEARCH	2019-03
--------	--	----------	---------

Description

Consists of records regarding the ethics review applications and protocols for course and student research projects (course and undergraduate), which are of minimal risk. These records may include ethics review applications, ethics certificates, ethics protocols, approvals, related correspondence, progress reports, and final reports.

Office of Primary Responsibility

Office of Research Ethics

Retention Summary

Retain in unit for 3 years from last action.

Final Disposition

AR

Retention Rationale

Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (2014) Record Retention: Departmental Reviews of Student Projects / Interagency Advisory Panel on Research Ethics (February 2004)

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also: *For Graduate, Post-Graduate, Doctoral Fellows, Faculty & Staff Research Ethics Case Files*, see: **RES-11**.

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

RES-10	Graduate, Post-Graduate, Doctoral Fellows, Faculty & Staff Research Ethics Case Files	RESEARCH	2019-03
---------------	--	-----------------	----------------

Description

Consists of records related to the ethics review applications protocols for research projects of post-graduate, faculty and staff of Carleton University. These records may include ethics review applications, ethics certificates, ethics protocols, approvals, related correspondence, progress reports, and final reports.

Office of Primary Responsibility

Office of Research Ethics

Retention Summary

Retain in unit for 7 years from last action.

Final Disposition

AR

Retention Rationale

Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (2014)

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Undergraduate & Course Related Ethics Case Files*, see **RES-10**.

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

RES-11	Awards & Prizes to Researchers	RESEARCH	2017-06
--------	--------------------------------	----------	---------

Description

Consists of working documents, membership, protocols, minutes, and guidelines of the Carleton University Prizes and Awards Committee (CUPAC). Programs, awards and descriptions, calls for nominations, nomination dossiers, evaluations and recommendations, lists of candidates, and notifications of acceptance.

Office of Primary Responsibility

Office of the Vice-President (Research and International)

Retention Summary

Retain in unit for minimum 3 years from last action.

Final Disposition

AR

Corporate Records and Archives may select materials for permanent preservation.

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also: --

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.