

# CARLETON UNIVERSITY RECORDS RETENTION SCHEDULE

## SECTION 9: RESEARCH

VERSION 4.0

UPDATED APRIL 30, 2019



Corporate  
Archives

CARLETON UNIVERSITY

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VERSION 4.0  
UPDATED APRIL 30, 2019**

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Section 9:

## Research

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);

P = Permanent Retention

D = Destruction

AR = Archival Review Required.

<b>RES-00</b>	<b>PARTNERSHIPS AND COLLABORATION</b>	<b>RESEARCH</b>	<b>CURS 2019-04</b>
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**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.

<b>OFFICE OF PRIMARY RESPONSIBILITY:</b>	Office of the Vice-President (Research and International)
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<b># OF YEARS ACTIVE:</b>	T
<b>TRIGGER:</b>	After last action.
<b># OF YEARS INACTIVE:</b>	7
<b>FINAL DISPOSITION:</b>	AR (Selective retention by Corporate Archives)

<b>RETENTION RATIONALE:</b>	Retention based on anticipated operational use.
<b>FILING NOTES:</b>	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);  
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 D = Destruction  
 AR = Archival Review Required.

<b>RES-01</b>	<b>RESEARCH APPLICATIONS AND PROPOSALS</b>	<b>RESEARCH</b>	CURS 2019-04
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**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.

<b>OFFICE OF PRIMARY RESPONSIBILITY:</b>	Office of the Vice-President (Research and International)
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<b># OF YEARS ACTIVE:</b>	T
<b>TRIGGER:</b>	After last action.
<b># OF YEARS INACTIVE:</b>	7
<b>FINAL DISPOSITION:</b>	AR (Selective retention by Corporate Archives)

<b>RETENTION RATIONALE:</b>	Retention based on anticipated operational use.
	Tri-Council Agreement on the Administration of Agency Grants and Awards by Research Institutions.
<b>FILING NOTES:</b>	None.

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 D = Destruction  
 AR = Archival Review Required.

<b>RES-02</b>	<b>RESEARCH INFORMATION</b>	<b>RESEARCH</b>	CURS 2019-04
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**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).

<b># OF YEARS ACTIVE:</b>	T
<b>TRIGGER:</b>	Until last financial report.
<b># OF YEARS INACTIVE:</b>	7
<b>FINAL DISPOSITION:</b>	D

<b>RETENTION RATIONALE:</b>	Retention based on anticipated operational use.
	Tri-Council Agreement on the Administration of Agency Grants and Awards by Research Institutions
<b>FILING NOTES:</b>	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.)

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<b>RES-03</b>	<b>RESEARCH CONTRACTS AND AGREEMENTS</b>	<b>RESEARCH</b>	CURS 2019-04
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<b>DESCRIPTION:</b> 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.
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<b>OFFICE OF PRIMARY RESPONSIBILITY:</b>	Office of the Vice-President (Research and International)
	University Secretariat

<b># OF YEARS ACTIVE:</b>	T
<b>TRIGGER:</b>	Expiration of contract or agreement.
<b># OF YEARS INACTIVE:</b>	7
<b>FINAL DISPOSITION:</b>	AR (Selective retention by Corporate Archivist)

<b>RETENTION RATIONALE:</b>	Carleton University Signing Authorities Policy
<b>FILING NOTES:</b>	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.
	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.

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<b>RES-04</b>	<b>RESEARCH ETHICS BOARD MANAGEMENT</b>	<b>RESEARCH</b>	CURS 2019-04
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**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.

<b>OFFICE OF PRIMARY RESPONSIBILITY:</b>	Office of Research Ethics
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<b># OF YEARS ACTIVE:</b>	T
<b>TRIGGER:</b>	Until last action.
<b># OF YEARS INACTIVE:</b>	7
<b>FINAL DISPOSITION:</b>	AR (Selective retention by Corporate Archives)

<b>RETENTION RATIONALE:</b>	Retention base on anticipated operational use.
	Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (2014)
<b>FILING NOTES:</b>	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);  
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<b>RES-05</b>	<b>UNDERGRADUATE &amp; COURSE RELATED ETHICS CASE FILES</b>	<b>RESEARCH</b>	CURS 2019-04
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**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.

<b>OFFICE OF PRIMARY RESPONSIBILITY:</b>	Office of Research Ethics
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<b># OF YEARS ACTIVE:</b>	T
<b>TRIGGER:</b>	Until last action.
<b># OF YEARS INACTIVE:</b>	3
<b>FINAL DISPOSITION:</b>	AR

<b>RETENTION RATIONALE:</b>	Retention based on anticipated operational use.
	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)
<b>FILING NOTES:</b>	None

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);  
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<b>RES-06</b> GRADUATE, POST-GRADUATE, DOCTORAL FELLOWS, FACULTY & STAFF RESEARCH ETHICS CASE FILES	<b>RESEARCH</b>	CURS 2019-04
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<b>DESCRIPTION:</b> 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.
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<b>OFFICE OF PRIMARY RESPONSIBILITY:</b>	Office of Research Ethics
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<b># OF YEARS ACTIVE:</b>	T
<b>TRIGGER:</b>	Until last action.
<b># OF YEARS INACTIVE:</b>	7
<b>FINAL DISPOSITION:</b>	AR

<b>RETENTION RATIONALE:</b>	Retention based on anticipated operational use.
	Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (2014)
<b>FILING NOTES:</b>	None.

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<b>RES-07</b>	<b>AWARDS AND PRIZES TO RESEARCHERS</b>	<b>RESEARCH</b>	CURS 2019-04
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**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.

<b>OFFICE OF PRIMARY RESPONSIBILITY:</b>	Office of the Vice-President (Research and International)
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<b># OF YEARS ACTIVE:</b>	T
<b>TRIGGER:</b>	Until last action.
<b># OF YEARS INACTIVE:</b>	3
<b>FINAL DISPOSITION:</b>	AR (Selective retention by Corporate Archives)

<b>RETENTION RATIONALE:</b>	Retention based on anticipated operational use.
<b>FILING NOTES:</b>	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);  
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