

STEPHEN F. AUSTIN STATE UNIVERSITY

Retention of Grant Records

For grants that end after September 1, 2015

This handout was prepared by the Office of Research and Graduate Studies and is intended as a summary sheet for the retention of grant records.

Senate Bill 20 Section 441.1855 concerning RETENTION OF CONTRACT AND RELATED DOCUMENTS BY STATE AGENCIES. This section now states that a state agency shall retain all contracts entered into 7 (seven) years after the latter of the following: (1) contract end date or (2) until all issues that arise (from audits, litigation, etc.) are resolved.

Review SFA Records Management at <http://library.sfasu.edu/etrc/services/recordret/>.

What is a grant record?

Any item, regardless of medium, created by or received in connection with a grant.

Why do we keep grant records?

Records are retained to meet state, federal and sponsor requirements and also because of historical significance as determined in conjunction with the University Archivist and your respective college.

Who keeps grant records?

Each level discussed below must maintain its own records retention log in accordance with University policy.

What grant records to keep?

Project Files

All non-financial records such as program reports and correspondence. We strongly suggest you retain all documentation and receipts for travel, Pcard and all other purchases.

- PI/PD
- Department or college records storage

Research Records

Data, signed consent forms, IRB approvals, IACUC approvals, etc.

- PI/PD
- Department or college records storage
- Library (University Archivist, as appropriate)

Financial Records and Reports, Time & Effort Certification Reports, & Payroll

- Office of the Controller

Application & Submission Documents and Contracts

Including any internal ORGS documents and correspondence.

- Office of Research and Graduate Studies

Property Records

- Department or College

Personnel Records, EPAFS, and Additional Compensation Forms

- Human Resources

How best to store grant records?

Files should be clearly marked with the project name, retention date, and maintained in an office where they can be easily accessed. It may also be helpful to list the type of contents in case someone needs to search them in the future.

Files may be retained in paper or electronic formats.

How long to keep?

ORGS determines retention dates for grant projects based on the following information.

For projects with no audits or other financial or programmatic issues, the following retention schedule will be followed unless otherwise specifically addressed in an award document, contract or sponsor guidelines:

- All Funded Projects - seven years and one day after the project end date or date of agency deobligation notice, whichever is later.
- Not Funded Projects – three years and one day after the submission date/submission deadline/Proposal Clearance Form (PCF) signature date/not-funded notice - whichever is later.
- Not Funded Projects– one day and three years after the date of submission, submission deadline, and Proposal Clearance Form (PCF) signature date, whichever is later.

For projects *with* audits or other financial or programmatic issues, use the corresponding schedule above based on the date of the final resolution/transaction.