

# STEPHEN F. AUSTIN STATE UNIVERSITY

## Retention of Grant Records and Other Externally Funded Projects

This handout was prepared by the Office of Research and Sponsored Programs based on SFA Records Management procedure (<http://library.sfasu.edu/etrc/records>) which adheres to state laws and regulations. This page is intended as a summary for the retention of grant records including externally funded projects and external applications that were not funded.

### What is a grant record?

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

### Why keep grant records?

Records are retained to meet state, federal and sponsor requirements or because of historical significance (historical significance should be determined in conjunction with the University Archivist).

### Who keeps and disposes of grant records?

Each level discussed below must maintain and dispose of its own records and maintain its own disposition log in accordance with University policy.

### What grant records must be kept?

**Project Files** (all non-financial records such as program reports and correspondence; documentation & receipts for travel, Pcard and all other purchases)

- PI/PD
- Department or college records storage

**Research Records** (data, signed consent forms, IRB 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 ORSP documents and correspondence)

- Office of Research and Sponsored Programs

**Property Records**

- Department or College

**Personnel Records, EPAFS (PARS) and Additional Compensation Forms**

- Human Resources

## **How long must grant records be kept?**

ORSP determines retention dates for grant projects based on the following information and sends an email to grant staff and relevant department staff at project close out.

For projects with no audits or other financial or programmatic issues, the below retention schedule is followed unless otherwise specified by the sponsor:

- Direct State – seven years after the contract end date.
- Local and Private Awards– Four years and one day after the project end date.
- Direct Federal Award – Three years and one day after the final fund close date or date of agency close-out letter, whichever is later.
  - Real property and equipment records shall be retained for a period of three years after final disposition.
- Federal Pass-through State Award – Three years and one day after the final fund close date or date of agency close-out letter, whichever is later. Exceptions:
  - TEA and the THECB require records to be kept five years after the final fund close date or date of agency close-out letter, whichever is later.
- Not Funded Project– Three years and one day after the date of submission, submission deadline, or Proposal Clearance Form signature date, whichever is latest.

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

## **How to store and dispose of records?**

*Storing:* Box records and label with the following information: Banner grant number, sponsor name, title of project, project start/end dates, and the retention date (“Destroy after xx/xx/xxx” or “Retain until xx/xx/xxxx”).

Records should be stored in a departmentally accessible location, and the department needs to add the file to its record log/file inventory list.

*Disposition:* Once the retention date has past, destroy records (deleting electronic files, shredding paper files, etc.) and document this disposition in the record log/disposition log.

All departments must maintain a disposition log noting such destruction (retention period, disposition method, date, etc.).

Review SFA Records Management at <http://library.sfasu.edu/etrc/records> for more information and a sample disposition log. Some records should be transferred to University Archives, the permanent repository for items valuable to the history of SFA. See <http://library.sfasu.edu/etrc/academic>.

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**Contact ORSP at ext. 6606 with any questions regarding retention requirements  
for grants and other externally funded projects.**