

Record Retention

Internal Office of Research Policy Charge

Record Retention of Sponsored Projects documentation.

Purpose

The following policy outlines the Office of Research business process for record retention of sponsored projects document files. The University of Texas at Dallas policy requires that sponsored projects documents be retained five years after the official close of the contract and grant. The close date is determined by the submittal of the final financial status report by The University of Texas at Dallas Finance Office. NOTE: Record retention requirements may vary depending on the specific funding agency. This policy will ensure compliance with Federal (The Office of Management and Budget Uniform Administrative Requirements, Cost Principles and Audit Requirements for federal awards - Uniform Guidance), State, and University policies.

Policy Statement

It is the policy of the University of Texas at Dallas to securely store records and ensure records are disposed of according to the UT Dallas Records Retention Schedule. The Office of Research will follow this policy, as well as sponsor requirements, in the maintenance and disposal of all sponsored projects documents.

Guidelines for Record Retention

The following are the grant and contract files to be maintained for record retention. NOTE: This list may be changed according to internal Departmental, University, and Sponsor policies and regulations. The document list will be maintained at G: Sponsored Projects>General>Record Retention-List of Documents file.

Executed Documents

Proposal & Budget

Notice of Award / Agreement / Contract

Amendments

Closeout documents (final reports, report of inventions, patent reports)

Subcontracts

Subcontracts and documents related to subcontracts

Supporting documents

Proposal Certification Form New Award Notification Form (signed by PI) Recommended Research Award checklist (Restricted Research Form) IDC Waiver Form Checklist for Export Control Review Reports IRB memos IACUC memos Environmental Health & Safety forms Relevant emails Declined letters Correspondence with Sponsor/Agency

Roles and Responsibilities

The University's responsibilities include, but not limited to:

- Complying with the terms of sponsored project agreements
- Ensuring appropriate use of animals, human subjects, radioactive materials, etc.
- Protecting the rights of students, postdoctoral scholars, and staff, including, but not limited to, their rights to access data from research in which they participated and their rights to publish the results of such research
- Protecting and securing intellectual property rights
- Facilitating the investigation of charges, such as scientific misconduct or conflict of interest
- Complying with audit requests for information
- Providing sponsors with timely and appropriate reports, as required by the sponsor's agreement or regulations
- Principal Investigators (PIs) responsibilities include, but are not limited to:
 - Ensuring appropriate use of animals, human subjects, radioactive materials, etc.
 - Protecting the rights of students, postdoctoral scholars, and staff, including, but not limited to, their rights to access data from research in which they participated and their rights to publish the results of such research
- Complying with the terms of sponsored project agreements
- Collection, management and maintenance and retention of research data
- Determination of sponsor requirements for record retention requirements

- Protection of essential records in the event of a natural disaster

Procedure

The record retention process starts once the closeout process begins for the sponsored project that has reached the official end date of the sponsored project agreement. This process is a coordinated effort between Accounting Operations, the Office of Sponsored Projects, and Office of Post Award Management.

1. The Sponsored Project close-out process begins at the official end date of sponsored agreement.
 - a. The University of Texas requires that all awards(federal, state, local, or privately funded) executed by the University be closed out within 90 days of end-date of the sponsored project agreement.
 - b. Closeouts are initiated by the Accounting Operations team in the Finance Office.
 - i. Accounting Operations verifies expenses have been billed and all revenue has been collected.
 - ii. Contracts and grants are not officially "closed" until the submittal of the final expenditure report.
 - iii. For further information, see Closeout Workflow - Finance and OPM: G:Post Award Management>Post>PS OPM Business Process>Business Process>Close out Flow Chart
 - c. Weekly "Ready for Closeout" spreadsheet notification sent from Accounting Operations via email to OPM and the Office of Sponsored Projects(OSP).
 - i. "Week" tab – will contain information regarding the start of the closure process.
 1. OPM will set contract lines and project status to "close" in Financial Grant module
 - ii. "Closed" tab – will contain submittal date of the final expenditure report.
 1. Submittal date will be the begin date of the document record retention schedule.
 2. OSP will use this date for the record retention scheduling process.
 - iii. OSP will begin process of record retention scheduling.
 1. Current grant and contract files are maintained in hard copy file folders and on Sponsored Projects G: Sponsored Projects>ACCOUNTS>listed by last name of Principal Investigator
 2. Verify the contract of the awarded project for sponsor record retention requirements
 - a. Record retention requirements may vary depending on the specific funding agency
 3. Add record retention code RR(record retention) in the Award Profile "Additional Information" page in the Financial Grant module for the sponsored project that is now considered "final and closed".
 - a. Instructions on adding Record Retention codes are located at G:Post Award Management>Post>PeopleSoft>PS GM DOCUMENTATION>GM-30 Record Retention.
 - b. OSP will notate record retention end date in comments field
 4. Run record retention query quarterly
 - a. Discard documents as of record retention end date and according to The Office of Business Services disposal of records policy.

Policy Links

[UTD Record Retention Schedule](#)

[Business Services disposal of records policy](#)

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