

STEPHEN F. AUSTIN STATE UNIVERSITY

Retention of Grant Records

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

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 or because of historical significance (historical significance should be determined in conjunction with the University Archivist).

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; documentation & receipts for travel, Pcard and all 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

- Procurement and Property Services

Personnel Records, EPAFS (PARS) and Additional Compensation Forms

- Human Resources

How long to keep?

ORSP 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:

- Direct State Award – 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 (3) 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, except:
 - Awards from Texas Education Agency or the Texas Higher Education Coordinating Board are kept for five years after the final fund close date or date of agency close-out letter whichever is later.
- Local and Private Awards – four years and one day after the project end date.
- Not Funded Projects– one day and three years after the date of submission, submission deadline, and Proposal Clearance Form 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.