

(5300) Research and Sponsored Programs Records Retention Schedule



Disposition authority granted by the State Records Committee under RCW 40.14 on 4/3/2019.

Recordkeeping Unit Authority: Gautam Pillay

Records Coordinator: Tracey Finch

The following records have been identified as unique to this office. For records not identified here, please use a Western Washington University General Records Retention schedule located at: library.wwu.edu/hr/aboutretention_archives. For questions, contact WWU Records Management, x6654.

WWU Disposition Authority Reference	Records Series Title/Description	Retention and Disposition Instructions
01-08-60193.5300.18499	Animal Subjects Review Records Records documenting request for the use of animals for both grant and non-grant research purposes. May include records certified by investigator that project accurately describes all aspects of proposed animal usage; official approval or rejection memos from Animal Care and Use Committee; renewal forms; and related notes and correspondence.	Retain for 6 years after completion of research activity or rejection of proposal <i>then</i> Destroy
GS 23004.5300.17519	Grant Award Financial Support Documentation May include some or all of the following: university cost-sharing documentation; original summary time record in support of payroll charges to the grant; copy 1 of financial reports sent to granting agency; audit copy of billings to agency with worksheet back-up; audit copy of Payroll Appointments; Pay Authorizations; student employment forms. Documents necessary to fulfill audit requirements for grant awards and contracts received by WWU and administered by the RSP.	Retain for 6 years after end of funding period/grant cycle and completion of all grant requirements for that cycle (such as federal retention requirements, submission of financial status report, etc.) <i>then</i> Destroy

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WWU Disposition Authority Reference	Records Series Title/Description	Retention and Disposition Instructions
GS 23004.5300.17517 ARCHIVAL RECORD	Grant Award History File Includes some or all of the following: original grant award instrument, amendments, sub-contracts; final performance results; statements of patents or inventions, equipment inventory verifications. Documentation describing nature and purpose of funded project, amount of funds requested, in-kind contributions, plan of work, and statement of terms and conditions for all grant awards or contracts received by WWU and administered by the RSP.	Retain for 6 years after end of funding period/grant cycle and completion of all grant requirements for that cycle (such as federal retention requirements, submission of financial status report, etc.) <i>then</i> Transfer to University Archives for historical appraisal and permanent retention
GS 23004.5300.17518 ARCHIVAL RECORD	Grant Director/Grant Administration File Includes grant award correspondence, regulations; also includes materials used to coordinate legal and administrative responsibilities with the Grant Director in fulfilling grant obligations.	Retain for 6 years after end of funding period/grant cycle and completion of all grant requirements for that cycle (such as federal retention requirements, submission of financial status report, etc.) <i>then</i> Transfer to University Archives for historical appraisal and permanent retention

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WWU Disposition Authority Reference	Records Series Title/Description	Retention and Disposition Instructions
14-09-68638.5300.18455 ARCHIVAL RECORD	Grant Final Product History File May include some or all of the following: final record copy of booklets, manuals, resource guides, monographs, studies, audio and video tape and other final grant products in textual or machine-readable form prepared in compliance with request for proposal document.	Retain for 6 years after end of grant period <i>then</i> Transfer to University Archives for historical appraisal and permanent retention
GS 23004.5300.17520 ARCHIVAL RECORD	Grant Progress Reports Statements on progress, problems and successes toward completion of the grant project, including periodic, annual, special activity/event and documentation/evaluation reports.	Retain for 6 years after end of funding period/grant cycle and completion of all grant requirements for that cycle (such as federal retention requirements, submission of financial status report, etc.) <i>then</i> Transfer to University Archives for historical appraisal and permanent retention
14-09-68640.5300.18563	Grant Proposal, Not Accepted Includes proposal describing nature and purpose of project, amount of funds requested, in-kind contributions, plan of work and other documents pertaining to grant proposals not funded.	Retain for 5 years after fiscal year <i>then</i> Destroy

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WWU Disposition Authority Reference	Records Series Title/Description	Retention and Disposition Instructions
01-08-60190.5300.18123	<p>Human Subjects Activity Review Form (Research Proposals Withdrawn/Denied)</p> <p>Includes Human Subjects Activity Review form and attachments describing proposed research. Provides a record of withdrawn or denied requests for use of human subjects in research.</p>	<p>Retain for 6 years after project withdrawn/denied</p> <p><i>then</i></p> <p>Destroy</p>
01-08-60190.5300.18122	<p>Human Subjects Research Exemption Form</p> <p>Completed, in lieu of formal application, for low-risk research using human subjects. Signed by principal investigator, department chair, and faculty advisor if student. Includes category under which research qualifies for exemption, project title and related information; and official memo from Human Subjects Review Committee stating project is exempt from full review.</p>	<p>Retain for 6 years after completion of research activity</p> <p><i>then</i></p> <p>Destroy</p>
01-08-60190.5300.18498	<p>Human Subjects Research Records</p> <p>Records documenting the review of research proposals involving human subjects and the approval or non-approval of proposals. May include records describing proposed research; bibliographies; sample informed consent forms; survey instrument questionnaires; vitae; official memos from the Human Subjects Review Committee; renewal forms; exemption forms; and related correspondence.</p>	<p>Retain for 6 years after completion of research activity or rejection of proposal</p> <p><i>then</i></p> <p>Destroy</p>
GS 23003.5300.18124	<p>Internal Research Support Funds</p> <p>Records documenting the awarding of internal research support funds. Documents the allocation and monitoring of funds for various research projects, such as summer research grants, faculty development, project development, undergraduate and graduate research, and others. May include application for faculty and student funding stating type of research, letters of acceptance, and related correspondence.</p>	<p>Retain for 6 years after termination of project or proposal rejection</p> <p><i>then</i></p> <p>Destroy</p>

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WWU Disposition Authority Reference	Records Series Title/Description	Retention and Disposition Instructions
GS 23003.5300.18125	Internal Research Support Funds (Not Awarded) Includes application for faculty and student funding stating type of research, statement of denial, and related correspondence. Documents denial of funding for various research projects, such as summer research grants, faculty development, project development, undergraduate and graduate research, and others.	Retain for 6 years after notification of non-support <i>then</i> Destroy
