

**ALL-UNIVERSITY RECORDS RETENTION SCHEDULE**

Research and Sponsored Projects Records (Revised 09-20)				
RECORD SERIES TITLE—FUNCTION/PURPOSE	LOCATION (*OFFICIAL COPY)	RETENTION AND DISPOSITION ACTION	DISPOSITION AUTHORITY NO.	REMARKS
<p><b>COST SHARING EFFORT INQUIRY REQUEST (WSU 1288)</b> Provides information concerning employees who are anticipated to contribute effort toward cost-sharing obligations of sponsored projects. Used for data collection and entry into the effort certification system.</p>	<p>Sponsored Programs Services*</p> <p>Department (reference copy)</p>	<p>Retain until data entered and verified, then destroy.</p> <p>Retain until admin. purpose served, then destroy.</p>	<p>11-12-63429</p> <p>Secondary copy under 11-12-63429</p>	
<p><b>EXPORT CONTROL RECORDS</b> Provides a record of the documentation required to be retained on the exports of commodities, software, or technology from the United States. It also includes a record of any known re-exports, trans-shipment, or diversions of items exported from the United States as per Export Administration Regulation 762.6. Documentation includes export control documents, memoranda, invitations to bid, financial records, etc.</p>	<p>Office of Research Assurances* OR Department*</p>	<p>Retain for 5 years after termination of funding period then destroy.</p>	<p>20-08-69552</p>	
<p><b>GRANTS RECEIVED BY THE UNIVERSITY</b> Records relating to grant projects and funds received and expended by the University, including any continuous grants. Includes, but is not limited to:  <ul style="list-style-type: none"> <li>• Requests for Proposals (RFPs), University application;</li> <li>• Notifications of grant awards, fiscal reports and supporting documentation;</li> <li>• Grant monitoring, audit reports, status reports, compliance reports;</li> <li>• Time keeping/time and effort reports and supporting documentation (if required);</li> <li>• Modification requests, progress and status reports;</li> <li>• Related correspondence/communications.</li> </ul>                     Excludes final deliverables/reports covered by:  <ul style="list-style-type: none"> <li>• State Publications (DAN GS 15008; see Public Affairs and Public Disclosure Recs table);</li> <li>• Studies (Major) – Final Reports (Unpublished) (DAN GS 10016; see Admin-Exec Lvl Recs table).</li> </ul>                     State Note: If federal retention requirements are shorter than 6 years, the records must still be retained for the minimum 6 years after end of grant period/cycle to satisfy state requirements.                      WSU Notes:  <ul style="list-style-type: none"> <li>• When the department retains an original of an expenditure document; e.g., purchasing card receipt, time or leave report; the department is responsible for ensuring that the document is retained for either the stated cutoff and retention period for the records series (e.g., fiscal year plus 6 yrs.; termination of employment plus 6 yrs.), OR the end of the grant period plus 6 yrs., OR the end of the grant period plus the retention period required by the grant agreement, whichever is longer.</li> <li>• ** Retain all grant documentation for end of grant period plus 6 yrs. OR end of the grant period plus the retention period required by the grant agreement, whichever is longer.</li> <li>• Regarding time/effort records: For federal awards issued prior to Dec. 26 2014, refer to Office of Management and Budget (OMB) Circular A-21. For federal awards issued on or after Dec. 26, 2014, refer to the Code of Federal Regulations, Title 2, Part 200 (2 CFR 200).</li> </ul> </p>	<p>Sponsored Programs Services* OR Department*</p> <p>Department or ORSO (reference copy)</p>	<p>Retain for 6 years after end of funding period/ grant cycle  <b>AND</b>                      completion of all grant requirements <b>for that cycle</b> (such as federal retention requirements, submission of financial status report, etc.),                      then destroy, except as noted.</p> <p>Retain until admin. purpose served, then destroy</p>	<p>GS 23004 Rev. 1</p> <p>Secondary copy under GS 23004 Rev. 1</p>	<p>Essential</p>

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GRANTS RECEIVED BY THE UNIVERSITY -- UNSUCCESSFUL APPLICATIONS Records relating to unsuccessful grant applications made by the University to grant-issuing entities.	ORSO* OR Department*  Principal Investigator; Department (reference copy)	Retain until no longer needed for University business, then destroy.  Retain until admin. purpose served, then destroy.	GS 23006  Secondary copy under GS 23006	
LABORATORY NOTEBOOKS (OR EQUIVALENT RECORDS)—PATENT ISSUED Provides a record of laboratory notebooks or equivalent records that support patents in which the University has an ownership interest.	Principal Investigator*  Department (secondary copy)	Retain for 23 years after patent issued, then destroy.  Retain for 23 years after patent issued, then destroy.	10-02-62201  Secondary copy under 10-02-62201	
RESEARCH DATA Provides a record of compiled research data gathered during the course of a research project, regardless of whether or not funded by a grant or contract. May include data collection and evaluation, instruments, statistics, questionnaires and similar materials. NOTE: This records series does not cover records of research that results in protectable intellectual property to which the University may have an ownership interest. (See DAN 10-02-62202, DAN 10-02-62201, and DAN 10-02-62200.)	Principal Investigator*  Department (secondary copy)	Retain for 3 years after project completion, then destroy.  Retain for 3 years after project completion, then destroy.	11-12-63435  Secondary copy under 11-12-63435	
RESEARCH DATA—POTENTIAL PROTECTABLE INTELLECTUAL PROPERTY (PATENT APPLICATION DENIED) Provides a record of compiled research data gathered during the course of a research project that may result in protectable intellectual property to which the University may have an ownership interest, regardless of whether or not the project is funded by a grant or contract, and for which the patent application was denied. May include data collection and evaluation, instruments, statistics, questionnaires and similar materials. NOTE: If a patent application is reviewed again prior to the end of the retention period and a patent is then issued, retention of the research data moves to "Research Data—Protectable Intellectual Property (Patent Issued)" [DAN 10-02-62200] and retention of the laboratory notebooks (or equivalent records) is moved to "Laboratory Notebooks—Patent Issued" [DAN 10-02-62201].	Principal Investigator*  Department (secondary copy)	Retain for 6 years after patent application denied, then destroy.  Retain for 6 years after patent application denied, then destroy.	10-02-62202  Secondary copy under 10-02-62202	
RESEARCH DATA—PROTECTABLE INTELLECTUAL PROPERTY (PATENT ISSUED) Provides a record of compiled research data gathered during the course of a research project that results in protectable intellectual property to which the University may have an ownership interest, regardless of whether or not the project is funded by a grant or contract. May include data collection and evaluation, instruments, statistics, questionnaires and similar materials. NOTE: If a patent is issued, retention of the laboratory notebooks (or equivalent records) is moved to the records series titled "Laboratory Notebooks—Patent Issued" [DAN 10-02-62201].	Principal Investigator*  Department (secondary copy)	Retain for 6 years after patent issued, then destroy.  Retain for 6 years after patent issued, then destroy.	10-02-62200  Secondary copy under 10-02-62200	

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<b>SPONSORED PROJECT ALLOCATION NOTICE</b> Informs investigators and departments of object allocations and other accounting information regarding grants and contracts.	Dean/Department*	Retain until receipt of notice, then destroy.	11-12-63438	
<b>UNFUNDED PROPOSAL FILE</b> Provides a record of research proposals sent to sponsors and currently unfunded.	Department*	Retain for 2 years after end of fiscal year, then destroy.	11-12-63439	