

Record Series Identifier	Record Series Name						<i>Last Update: August 2018</i>		
10.0 RESEARCH AND SPONSORED PROGRAMS									
Record Identifier	Record Title	Custodian of Records	Record Value: O - Operational; F - Fiscal; L - Legal; H - Historical; V - Vital					Retention Source Authority	Retention Period
			O	F	L	H	V		
10.1	Administrative & Financial Records <i>(see footnote A)</i>							<i>(see footnote D)</i>	
10.1.1	All financial records, documentation and reports pertinent to an award (Federal, State, Private)	Designated campus sponsored programs, accounting or other office	X	X	X			2 CFR 200.333	Three (3) years from date of submission of the final expenditure report.
10.1.2	Supporting documents and statistical records pertinent to a federal, state or private award	Designated campus sponsored programs, accounting or other office	X		X			2 CFR 200.333	Three (3) years from date of submission of the final expenditure report.
10.1.3	Grants, contracts, and cooperative agreements including funded proposals	Campus sponsored programs office	X		X			2 CFR 200.333	Three (3) years from date of submission of the final expenditure report. <i>(For additional requirements for research activities in tax-exempt bond-funded facilities, see footnote E)</i>
10.1.4	Unfunded pre-award files including a copy of the proposal and approvals submitted to the funding agency	Campus sponsored programs office	X					2 CFR 200.333	Physical files: Scan and destroy at the time of notification of decline or withdrawal. Electronic files: retain for five (5) years after notification of decline or withdrawal.
10.1.5	Records for Real Property and equipment acquired with Federal Funds	Designated campus sponsored programs, accounting or other office	X		X			2 CFR 200.333	Shall be retained for three (3) years after final disposition of the property.
10.2	Conflict of Interest Records <i>(see footnote B)</i>								
10.2.1	For NSF-funded Research: Records of all financial disclosures and of all actions taken to resolve conflicts on interest	Campus office responsible for COI compliance	X		X			NSF Grant Policy Manual - Chapter III section 350 regarding record retention and chapter V Section 510 regarding institutional conflict of interest rules	Three (3) years beyond the termination or completion of the grant to which they related or until the resolution of any NSF action involving those records.
10.2.2	For PHS-funded research which includes all NIH awards: Records of all financial disclosures and all actions taken by the Institution with respect to each conflicting interest	Campus office responsible for COI compliance	X		X			42 CFR 50.604 - Subpart F	Maintain records of all financial disclosures and all actions taken by the Institution with respect to each conflicting interest for three years from the date of submission of the final expenditures report or, where applicable, from other dates specified in 45 CFR 74.53(b) for different situations.
10.2.3	For research funded by non-governmental sponsors as covered by the California Political Reform Act section 18755, original reports or statements including 700-U forms	Campus office responsible for COI compliance	X		X			California Political Reform Act paragraph 18755 and California Government Code 81009(e) and CSU policy HR 2005-38	Original reports and statements shall be retained by filing officers for a period of seven years unless there is a current ongoing related COI issue in which case the records will be retained until resolution of the related COI issue.
10.3	IRB Records <i>(see footnote C)</i>								

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10.3.1	Copies of all research proposals reviewed, including: - scientific evaluations, if any, that accompany the proposals; - approved sample consent documents; - progress reports submitted by investigators; and - reports of injuries to subjects	Campus office responsible for regulatory compliance	X		X			45 CFR 46.115 Protection of Human Subjects, IRB Records	Three (3) years; records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years after completion.
10.3.2	Minutes of IRB meetings including: - attendance at the meetings; - actions taken by the IRB; - votes on these actions; - basis for requiring changes in or disapproving research; - written summary of the discussions and resolutions	Campus office responsible for regulatory compliance	X		X			45 CFR 46.115 Protection of Human Subjects and 21 CFR 56.115 IRB Records	Three (3) years; records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years after completion.
10.3.3	Records of continuing review activities	Campus office responsible for regulatory compliance	X		X			45 CFR 46.115 Protection of Human Subjects and 21 CFR 56.115 IRB Records	Three (3) years; records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years after completion.
10.3.4	Copies of all correspondence between the IRB and the investigators	Campus office responsible for regulatory compliance	X		X			45 CFR 46.115 Protection of Human Subjects and 21 CFR 56.115 IRB Records	Three (3) years; records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years after completion.
10.3.5	A list of IRB members in the same detail as described in Sec. 46.103(b)(3)	Campus office responsible for regulatory compliance	X		X			45 CFR 46.115 Protection of Human Subjects and 21 CFR 56.115 IRB Records	Three (3) years; records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years after completion.
10.3.6	Written procedures for the IRB in the same detail as described in Sec. 46.103(b)(4) and Sec. 46.103(b)(5)	Campus office responsible for regulatory compliance	X		X			45 CFR 46.115 Protection of Human Subjects and 21 CFR 56.115 IRB Records	Three (3) years; records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years after completion.
10.3.7	Statements of significant new findings provided to subjects, as required by Sec. 46.116(b)(5)	Campus office responsible for regulatory compliance	X		X			45 CFR 46.115 Protection of Human Subjects and 21 CFR 56.115 IRB Records	Three (3) years; records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years after completion.
10.4	IACUC Records								
10.4.1	IACUC minutes, including: - records of attendance; - activities of the Committee; - Committee deliberations	Campus office responsible for regulatory compliance	X		X			Animal Welfare Act, 9 CFR 2.35; NIH/OLAW 2002, 2nd Edition, Institutional Animal Care and Use Committee Guidebook, Sec E.1.	Three (3) years; records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years after completion.

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10.4.2	IACUC protocols, including: - proposed activities involving animals; - proposed significant changes in activities involving animals; - approval given or withheld on above	Campus office responsible for regulatory compliance	X		X			Animal Welfare Act, 9 CFR 2.35; NIH/OLAW 2002, 2nd Edition, Institutional Animal Care and Use Committee Guidebook, Sec E.1.	Three (3) years; records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years after completion.
10.4.3	Other records, including: - semiannual IACUC reports and recommendations; - OLAW Assurance; - reports of accrediting agencies	Campus office responsible for regulatory compliance	X		X			Animal Welfare Act, 9 CFR 2.35; NIH/OLAW 2002, 2nd Edition, Institutional Animal Care and Use Committee Guidebook, Sec E.1.	Three (3) years; records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years after completion.
10.4.4	Information as specified in 9 CFR 2.35(b) concerning each live dog or cat acquired, transported, sold or euthanized	Campus office responsible for regulatory compliance	X		X			Animal Welfare Act, 9 CFR 2.35; NIH/OLAW 2002, 2nd Edition, Institutional Animal Care and Use Committee Guidebook, Sec E.1.	Three (3) years; records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years after completion.
10.5	Research Misconduct Proceedings	Campus office responsible for regulatory compliance	X		X			42 CFR 93.317 and campus academic policy and procedures on research scientific misconduct	Seven (7) years after completion of the proceeding or the completion of any PHS proceeding involving the research misconduct allegation under subparts D and E of 42 CFR 93.317, whichever is later.
10.6	Research data defined as the recorded factual material commonly accepted in the scientific community as necessary to validate research findings, but not any of the following: Preliminary analyses, drafts of scientific papers, plans for future research, peer reviews, or communications with colleagues. This "recorded" material excludes physical objects (e.g. , laboratory samples).	Principal Investigator or Director of Sponsored Programs Office (in accordance with campus policy)	X		X			2 CFR 200.333	Three (3) years after submission of the final report of the research to the sponsor, unless a longer retention period is specified by the sponsor.
10.7	F&A (Facilities and Administrative/Indirect) cost rate proposals	Designated campus sponsored programs, accounting or other office	X	X	X			2 CFR 200.333(f)	<i>If submitted for negotiation</i> : 3-years from date of submission. <i>If not submitted for negotiation</i> : 3-year retention period for the proposal, plan, or other computation and its supporting records starts at the end of the fiscal year covered by the proposal, plan, or other computation.
10.8	Sponsored Programs Policies and Procedures	Campus sponsored programs office	X		X	X		CSU Practice	Maintain most current in force. Historical policies and procedures should be retained until university internal audit or three years, whichever comes first.
10.9	HIPAA	Campus office responsible for HR or regulatory compliance						45 CFR 164.530 and CSU Human Resources Policies (See 1.0 CSU Personnel-Payroll Record Retention Schedule; Sec 1.19)	http://www.calstate.edu/recordsretention/

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10.10	Environment Health & Safety Records	Campus office(s) responsible for EH&S						See 3.0 Environmental Health and Safety Retention Schedule	http://www.calstate.edu/recordsretention/

* Campus may be university or auxiliary office

Links: CFR (all)
2 CFR 200

42 CFR
45 CFR
OLAW

CSU Financing & Treasury

<https://www.ecfr.gov>

https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl

http://grants.nih.gov/grants/compliance/42_CFR_50_Subpart_F.htm

<http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.htm>

<http://grants.nih.gov/grants/olaw/GuideBook.pdf>

<https://csyou.calstate.edu/Divisions-Orgs/bus-fin/frm/Pages/Tax-Exempt-Bond-Requirements.aspx>

Footnote Regarding:

A Administrative and Financial Records- Section 10.1

Financial records in 10.1.1 includes all records related to expenditures (including effort certifications and cost match), revenue and cash receipts. Refer also to the CSU Retention Schedule, Section 2 regarding fiscal records.

B Conflict of Interest - Section 10.2

Requirements related to other funding agencies may vary. In all instances, individual agreements should be consulted to determine applicability of special record retention requirements.

C IRB records - Section 10.3

In accordance with the campus's federal wide assurance (FWA), the retention source authority may also reference 21 CFR 56.115 IRB Records (Food and Drug Administration) - records and retention requirements are virtually identical to those referenced in 45 CFR 46.115.

D Retention Period (general)

– For federal research contracts 48 CFR 4.7 may be applicable, which requires retention for 3-years after final payment is received.
– If sponsor guidelines require a different retention period, the longer retention requirement shall prevail.
– If any litigation, claim, or audit is started before the expiration of the retention period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved and final action taken.
– When records are transferred to or maintained by the Federal awarding agency, the 3-year retention requirement is not applicable to the recipient.

E Research performed in facilities funded with tax-exempt bonds - Section 10.1.3

[Refer to Financing & Treasury CSYou site.](#)