



OFFICE OF
**RESEARCH &
 GRADUATE STUDIES**
 CENTRAL MICHIGAN UNIVERSITY

POLICY

• Retrieval Number:	11,013
• Page:	1 of 2
• Originator:	Lenora Calkins
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OFFICE OF SPONSORED PROGRAMS

SUBJECT:

Record Retention –

The below guidance outlines the record retention dates/periods that fall under the purview of the Office of Research and Graduate Studies (ORGS), specifically the Office of Sponsored Programs (OSP) to manage.

Once the record retention period has passed, all documents and communications (electronic and hard-copy) should be disposed of.

Record retention periods and the documenting of those dates in CMU’s financial system will be completed in accordance with the University’s Record Retention Schedule (listed on the Clarke Historical Library’s webpage) and in alignment with 2 CFR 200.333.

Note: if a project is undergoing audit, no files should be destroyed until the audit is complete.

TITLE	DESCRIPTION	RETENTION
Record Retention dates that will be determined by ORGS.		
Zero-dollar and in-kind awards – <i>funded as a contractual agreement</i>	1. <ul style="list-style-type: none"> Documents related to zero-dollar and/or in-kind contractual agreements. 	5 years from the end date of the agreement or as stipulated by the individual agreement
Zero-dollar and in-kind awards - <i>funded as a grant agreement</i>	2. <ul style="list-style-type: none"> Documents related to zero-dollar and/or in-kind grant agreements. 	3 years from the end date of the agreement or as stipulated by the individual agreement
Nondisclosure Agreements	3. <ul style="list-style-type: none"> Documents related to nondisclosure agreements. 	Follow the record retention schedule of the related grant/contract award or proposal.
Internal grants/awards	4. <ul style="list-style-type: none"> Includes documents related to any internally funded grants awarded by ORGS/OSP. This may include, but is not limited to: <ul style="list-style-type: none"> Faculty Research and Creative Endeavors (FRCE) Undergraduate/graduate student awards Vice President for Research Discretionary Funding 	3 years from submission and approval, if required, of all closeout documents

Unsuccessful Externally-funded Grant Records	5.	<ul style="list-style-type: none"> Documents related to unsuccessful externally-funded sponsored research projects (declined by sponsor). Will be in cancelled status (in SAP) 	1 year from declined date
Unsuccessful Internally-funded Grant Records	6.	<ul style="list-style-type: none"> Documents related to unsuccessful grant applications to an internal funding opportunity managed by ORGS/OSP. 	1 year from declined date
Cancelled Proposal Grant Records	7.	<ul style="list-style-type: none"> Documents related to proposal files that need to be canceled for a reason other than a decline by the sponsor (this may be due to a file recreate in SAP or because the proposal originally created resulted in a supplement to an active grant file) Will be in cancelled status (in SAP) 	1 year from cancelled date
Patent, Trademark, and other Intellectual Property	8.	<ul style="list-style-type: none"> Documents related to patent, trademark, and other intellectual property contractual agreements. 	PERMANENT – do not dispose
Data Use Agreements	9.	<ul style="list-style-type: none"> Documents related to contracts that are developed, signed, and executed for the purpose of outlining procedures, expectations, requirements, and restrictions for sharing research data. 	5 years from the end date of the agreement or as stipulated by the individual agreement
Material Transfer Agreements	10.	<ul style="list-style-type: none"> Documents related to contracts that are developed, signed, and executed for the purpose of outlining procedures, expectations, requirements, and restrictions for sending and receiving physical materials or samples used for research purposes. 	5 years from the end date of the agreement or as stipulated by the individual agreement
Record Retention dates that will be determined by Grant Accounting (GAO). ORGS will depend on GAO to ensure CMU's financial system is updated, as needed, in relation to record retention for the two below items.			
Externally Funded Contracts		<ul style="list-style-type: none"> Documents related to externally funded contractual agreements 	5 years from the end date of the agreement or as stipulated by the individual agreement
Externally Funded Grant Agreements (includes a variety of agreement types such as cooperative agreements, MOUs, etc...)		<ul style="list-style-type: none"> Documents related to externally funded grant agreements. 	3 years from the date of submission of the final expenditure report or longer as stipulated by the individual agreement or sponsoring agency.