

Grants and Research Records

<p>Clinical Research Records</p> <ul style="list-style-type: none"> • Protocols • Patient Records • Regulatory Records • Associated Contracts • Accounting Records 	<p>Department</p>	<p>2 years post marketing approval or IND withdrawal</p>	
<p>Grant Project Research Records</p> <p>Activity Reports</p> <p>Research Data</p> <p>Summary Reports</p> <p>Working Papers</p> <p>Related Documentation</p>	<p>Office of Grants and Contracts</p>	<p>6 years after expiration of grant funding period or termination of contract and until no longer needed for reference.</p>	<p>Schedule 8</p>
<p>Grant Proposal Records</p>	<p>Office of Grants and Contracts</p>	<p>6 years after expiration of grant funding period or termination of contract and until no longer needed for reference.</p>	<p>Schedule 8</p>
<p>Grants and Contracts Accounting Records</p> <ul style="list-style-type: none"> • Account Request Forms • Assignment of Refunds Documents • Balance Sheets • Billing Records • Budget Summary Statements • Contracts • Equipment Purchase Orders • Financial Reports • Grant authorizations • Invoices • Project Summaries • Receipts • Subcontracts • Related Documentation 	<p>Office of Grants and Contracts</p>		
<p>Human Subjects Records</p> <ul style="list-style-type: none"> • Approval Applications/Forms • Assurance/Certification/Declaration Forms • Consent Forms • Grant Proposals 	<p>IRB</p>	<p>3 years after completion of the activity</p>	<p>21 CFR 56.115</p>

	<ul style="list-style-type: none"> • Protection of Human Subjects Forms • Protocols • Related Documentation 			
	Institutional Animal Care and Use Records <ul style="list-style-type: none"> • Approval Applications/Forms • Grant Proposals • Protocols 	IACUC	3 years after completion of the activity	9 CFR 2.35(f)
	Laboratory Notebooks/Reports	Originating Unit		
	Personnel Activity Report Forms	Office Grants and Contracts	6 years	OMB Circular A21
	Research Misconduct Records	Office of Grants and Contracts		
	Invention Disclosure Forms <ul style="list-style-type: none"> • Licensing Agreements • Original Patents • Patent Applications • Technology Transfer Records • Related Documentation 	Tech Transfer	Permanent for original patents, formal invention assignment forms, license agreements, patent legal transactions, and invention disclosure forms; 6 years for all other records	
	<i>Federal Contracts:</i>		The retention periods are calculated from the end of the contract's fiscal year in which an entry is made, changed, or allocating a cost to a government contract or subcontract.	
	Accounts receivable invoices, adjustments to the accounts, invoice registers, carrier freight bills, shipping orders, and other documents which detail the material or services billed on the related invoices	Office of Grants and Contracts	4 years	48 CFR 4.705-1(a)
	Material, work order, or service order files, consisting of purchase requisitions or purchase orders for material or services, or orders for transfer of material or supplies	Office of Grants and Contracts	4 years	48 CFR 4.705-1(b)
	Cash advance recapitulations, prepared as posting entries to accounts receivable ledgers for amounts of expense vouchers prepared for employees' travel and related expenses	Office of Grants and Contracts	4 years	48 CFR 4.705-1(c)
	Paid, canceled, and voided checks, other than those issued for the payment of salary and wages	Office of Grants and Contracts	4 years	48 CFR 4.705-1(d)

	Accounts payable records to support disbursements of funds for materials, equipment, supplies, and services, containing originals or copies of the following and related documents: remittance advices and statements, vendors' invoices, invoice audits and distribution slips, receiving and inspection reports or comparable certifications of receipt and inspection of material of services, and debit and credit memoranda	Office of Grants and Contracts	4 years	48 CFR 4.705-1(e)
	Payroll sheets, registers, or their equivalent, of salaries and wages paid to the individual employees for each payroll period; change slips; and tax withholding statements	Office of Grants and Contracts	4 years	48 CFR 705-2(a)
	Work orders for maintenance and other services	Office of Grants and Contracts	4 years	48 CFR 4.705-3(b)
	Equipment records, consisting of equipment usage and status reports and equipment repair orders	Office of Grants and Contracts	4 years	48 CFR 4.705-3(c)
	Expendable property records, reflecting accountability for the receipt and use of material in the performance of a contract	Office of Grants and Contracts	4 years	48 CFR 4.705-3(d)
	Receiving and inspection report cards, consisting of reports reflecting receipt and inspection of supplies, equipment, and materials	Office of Grants and Contracts	4 years	48 CFR 4.705-3(e)
	Purchase order files for supplies, equipment, material, or services used in the performance of a contract; supporting documentation and backup files including, but not limited to, invoices, and memoranda; e.g., memoranda of negotiations showing the principal elements of subcontract price negotiations (see. 52.244-2)	Office of Grants and Contracts	4 years	48 CFR 4.705-3(f)
	Production records of quality control, reliability, and inspection	Office of Grants and Contracts	4 years	48 CFR 4.705-3(g)
	Labor cost distribution cards or equivalent documents	Office of Grants and Contracts	2 years	48 CFR 4.705-1(f)
	Petty cash records showing description of expenditures, to whom paid, name of person authorizing payment, and date, including	Office of Grants and Contracts	2 years	48 CFR 4.705-1(g)

	copies of vouchers and other supporting documents			
	Clock cards or other time and attendance cards	Office of Grants and Contracts	2 years	48 CFR 4.705-2(b)
	Paid checks, receipts for wages paid in cash, or other evidence of payments for services rendered by employees	Office of Grants and Contracts	2 years	48 CFR 4.705-2(c)
	Store requisitions for materials, supplies, equipment, and services	Office of Grants and Contracts	2 years	48 CFR 4.705-3(a)