

**Wright State University  
RECORDS RETENTION SCHEDULE**

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OCT 05 2004  
RESEARCH AND  
SPONSORED PROGRAMS

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**Instructions:** This form establishes a schedule of retention and disposal for the listed records series according with Section 149.333 of the Ohio Revised Code. No record series shall be retained, destroyed, or transferred in violation of this schedule. This schedule shall become effective on the last date approved. Obtain approvals and return to the University Records Manager, Special Collections and Archives, Dunbar Library, R-401-402. For assistance, contact the University Records Manager at ext. 2017 or write to [bessie.schina@wright.edu](mailto:bessie.schina@wright.edu).

**Originating Office/Department Code:** Office of Research and Sponsored Programs **ORSP**

**Division:** Vice President for Research/Dean of Graduate Studies

**Dean/Director/Head:** Joseph F. Thomas, Ph.D., Vice Pres. Res. **Date:**  
9/14/04

**Department Chairperson/Manager:** William K. Sellers, Ph.D., Director, ORSP 9/24/04

**University Records Manager:** Bessie Schina 9/29/04

**Head, Special Collections & Archives:** Daurie Dewey 9-30-04

<sup>1</sup>Medium code: P=Paper, M=Microfilm/Fiche, E=Machine Readable  
<sup>2</sup>Value code: C=Confidential, R=Restricted, H= Historical, V=Vital  
<sup>3</sup>Description: A separate retention period is required for each medium in the same records series.

WSU Records Series Number	Medium Code <sup>1</sup>	Value Code <sup>2</sup>	Records Series Title and Description <sup>3</sup>	IUC Number	Retention Period
ORSP-98-01	P/E		<b>Activity Reports</b> Reports with financial and statistical information generated by the office of Research and Sponsored Programs. May include reports to Board of Trustees summarizing status of grant funded projects. <i>Note: Financial information held by the Accounting Office (FAS system).</i>	ACC1000	Retain for four years, and then purge information in both paper and electronic formats.
ORSP-04-02	P	V	<b>Agreements-Teaming</b> Originals of contracts and agreements of Departments' affiliations with organizations such as hospitals, etc. <i>Note: Originals of contracts and agreements of WSU and School of Medicine with area hospitals are held in the office the Associate Dean for Fiscal Affairs, School of Medicine.</i>	LEG2000	Retain while active plus five years, then review for continuing administrative or historical value.*
ORSP-98-03	P		<b>Agency files</b> Includes documentation on rules, regulations, and application requirements by sponsoring public and private agencies.	ADM9900	Retain until obsolete or superseded, then destroy.

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ORSP-04-04	P/E		<p><b>Grant files-Awarded Administrative &amp; Financial records</b>            Individual files on federal and non-federal grant funded-projects include:</p> <ol style="list-style-type: none"> <li>Administrative (proposal, letter of transmittal of funds, correspondence with funding agency, protocol written by principal investigators, reports, personnel records, etc.)</li> <li>Financial (budget sheets, requisitions, purchase orders, accounting worksheets, etc.)</li> </ol> <p><i>Note: Retention and access requirements—as well as exceptions—for federal grants outlined in Office of Management and Budget's Circular No A-110, section.53. (see attachment)</i></p>	LEG2000	Retain while active plus five years, from the date of submission of the final expenditure report. Then review for historical value.* <i>Example: Annual reports submitted to the agency.</i>
ORSP-04-05	P	C/H	<p><b>Grant files-Awarded Research records and data</b>            Research records and data produced in the course of a grant-funded project (federal or non-federal) are treated as intellectual property and provided all applicable protections. Following the completion of the project and publication of the project's findings, if the principal investigator or the Office for Research and Sponsored programs deem the project results to have continuing research and/or historical value, they may request select material to be preserved in the University Archives or other appropriate repositories, if consistent with records retention requirements as otherwise defined in the granting agency's agreement with WSU.</p> <p><i>Note: Retention and access requirements—as well as exceptions—for federal grants outlined in Office of Management and Budget's Circular No A-110, section.53. (see attachment)</i></p>	LEG2000	Retain while active plus five years, from the date of submission of the final expenditure report. Then review for historical value.* <i>Examples of records with historical value: Final report submitted to granting agency and other publicly released, published, or patented research results. (ORC par.149.43 (A)(1)(m), Intellectual Property Records)</i>

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ORSP-98-06	P	C	<b>Human Subject Files</b> Administrative records on medical and non-medical human subjects for research studies. These include petition form, approval and continuing review documents, amendments, surveys, protocols written by principal investigators and related correspondence, as well as meeting minutes, program evaluations and other records produced by the Human Subjects Committee, etc. Some records are cross-referenced in Grant files-Awarded. <i>Responsibilities of the ORSP office are described in the IRB guidelines accessed at <a href="http://www.wright.edu/rsp/subjects.html">http://www.wright.edu/rsp/subjects.html</a>.</i>	LEG2000	Retain while active plus three years after completion of research, then destroy unless otherwise stipulated by granting agency or researcher.
ORSP-98-07	P	C	<b>Human Subject Files Consent forms</b> "Informed Consent" forms signed by human subjects (project participants) and maintained by principal investigators.  <i>Note: Guidelines on consent forms described in Cover Letter/Consent Form Guidelines accessed at <a href="http://www.wright.edu/rsp/subjects.html">http://www.wright.edu/rsp/subjects.html</a>.</i>	ADM9900	Retain by principal investigator permanently or until leaves university, then transfer to ORSP office for permanent retention.*
ORSP-98-08	P	C	<b>Laboratory Animal Files</b> Administrative records on laboratory animals used in research studies. These include petition form, approval and continuing review documents, amendments, surveys, protocols written by principal investigators and related correspondence, as well as meeting minutes, program evaluations and other records produced by the Laboratory Animal Care and Use Committee (LACUC), etc.; requirement documentation from the Office of Laboratory Animal Welfare (OOLAW), USDA, etc. Some records are cross-referenced in Grant files-Awarded.  <i>Note: LACUC Guidelines and Policies and Procedures can be found at <a href="http://www.wright.edu/rsp/subjects.htm#animals">http://www.wright.edu/rsp/subjects.htm#animals</a>.</i>	LEG2000	Retain while active plus three years after completion of the activities, then destroy unless otherwise stipulated by granting agency or researcher.

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ORSP-98-09	P	C	<p><b>Biosafety Files</b>            Administrative records on biosafety issues during research studies. These include petition form, approval and continuing review documents, amendments, surveys, protocols written by principal investigators and related correspondence, as well as meeting minutes, program evaluations and other records produced by the Institutional Biosafety Committee (IBC). Some records are cross-referenced in Grant files-Awarded.</p> <p><i>Note: IBC Guidelines and Policies can be found at <a href="http://www.wright.edu/rsp/IBC/biohazards.html">http://www.wright.edu/rsp/IBC/biohazards.html</a>.</i></p>	LEG2000	Retain while active plus three years after completion of the activities, then destroy unless otherwise stipulated by granting agency or researcher.
ORSP-98-10	P		<p><b>Grant files-Unawarded</b></p>	ADM9900	Retain for 6 months after notification, then return to investigator. Investigators retain for three years and then destroy.
ORSP-98-11	P	H	<p><b>Newsletters</b></p> <ol style="list-style-type: none"> <li>1. <i>Research News</i>--published three times a year)</li> <li>2. <i>LACUC (Laboratory Animal Care &amp; Use Committee) Newsletter</i>-- published bi-annually</li> <li>3. <i>RSP Annual Report</i></li> </ol>	PUB3000	Transfer one paper copy of each issue to Archives once a year. Destroy extra copies when of no further administrative value.
ORSP-98-12	P	C	<p><b>Patent files</b>            Records related to preparation, maintenance and rights.</p> <p><i>Note: Original patent files maintained by the Office of General Counsel.</i></p>	LEG7000	Retain while active, plus six years, then destroy duplicate records.

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ORSP-04-13	P	C	<b>Personnel Files-Office Staff</b> Faculty, staff, and student employees files including performance evaluations, letters of recommendations, correspondence, resumes, copies of contracts, vacation and sick leave information.  <i>Note: Long-term information is held by Human Resources Office.</i>	PER3000	Destroy within two years of termination. If subject to legal action, retain until final disposition.
ORSP-04-14	P	C	<b>Personnel Files-Employee Selection-Department</b> Vitae, letters, records of individuals who have applied for staff positions.	PER2000	Retain for three years, and then destroy.
ORSP-98-15	P/E	H	<b>Policies and Procedures-Office of Research and Sponsored Programs</b> Procedural records documenting ORSP-approved methods or processes for performing grant-funded project activities to ensure uniformity and compliance with institution and legal requirements. Available in paper and web format at <a href="http://www.wright.edu/rsp/">http://www.wright.edu/rsp/</a> .	ADM3000	Retain paper records while current plus ten years. Review for continuing administrative or historical value.* Retain information on the web until obsolete or superseded.
ORSP-04-16	E	H	<b>Web home page-Departmental</b> Includes description of departmental programs, activities, and events	ADM9900	Retain electronic format on the web until obsolete or superseded. <b>Retain a paper copy of a) each version and b) each version's source code permanently in the University Archives, if information exists in electronic format only.</b>

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