

Wright State University RECORDS RETENTION SCHEDULE (RRS)

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Instructions: This form establishes a schedule of retention and disposal for the listed records series, based on procedures provided by Section 149.333 of the Ohio Revised Code. Offices are required to submit a [Certificate of Records Disposal \(CRD\)](#) to the University Records Manager prior to the disposal of records listed on their retention schedule, as per [Wright State Policy 12220](#). This schedule shall become effective on the last date approved. Obtain approvals and return to the University Records Manager, Special Collections and Archives, 401 Dunbar Library. For assistance, please call ext. 2017, or write to chris.wydman@wright.edu.

Originating Office/Department Code: Office of Research & Sponsored Programs

RSP

Division: Research and Innovation

¹**Medium code:** P=Paper, M=Microfilm/Fiche, E=Machine Readable

²**Value code:** C=Confidential, R=Restricted, H= Historical , V=Vital

³**Description:** A separate retention period is required for each medium in the same records series.

WSU Records Series Number	Medium Code ¹	Value Code ²	Records Series Title and Description ⁵	IUC Number	Retention Period
RSP15-01	P/E		Activity Reports Reports with financial and statistical information generated by the Office of Research & Sponsored Programs. May include reports to Board of Trustees summarizing status of grant funded projects. <i>Note: Financial information held by the Controller's Office (Banner System)</i>	ACC1000	Retain for five years, and then purge information in both paper and electronic formats.
RSP15-02	P/E	V	Agreements-Teaming Originals of contracts and agreements of Departments' affiliations with organizations such as hospitals, etc. <i>Note: Originals of contracts and agreements of the Wright State University Boonshoft School of Medicine with area hospitals are held in the Office of the Associate Dean for Fiscal Affairs at the Boonshoft School of Medicine.</i>	LEG2000	Retain while active plus three years, then review for continuing administrative or historical value.

***Note:** Longer term storage may include, but not be restricted to, archives, an institutional records storage center, and conversion to digital formats and/or microfilm or other acceptable mass storage media (per Sec. 9.01 of the Ohio Revised Code).

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WSU Records Series Number	Medium Code ¹	Value Code ²	Records Series Title and Description ³	IUC Number	Retention Period
RSP15-04	P/E		<p>Grant & Contract files-Awarded Administrative & Financial records Individual files on federal and non-federal grant funded-projects include:</p> <ol style="list-style-type: none"> Administrative (proposal, letter of transmittal of funds, correspondence with funding agency, protocol written by principal investigators, reports, personnel records, etc.) Financial (budget sheets, requisitions, purchase orders, accounting worksheets, etc.) <p><i>Note: Retention and access requirements—as well as exceptions-- for federal grants outlined in Office of Management and Budget's Uniform Guidance 2 CFR 200</i></p>	LEG2000	Retain while active plus three years from the date of submission of the final expenditure and/or progress report. Then review for historical value. <i>Example: Annual reports submitted to the agency.</i>
RSP15-05	P/E	C/H	<p>Grant & Contract files-Awarded Research records and data 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 of Research & 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 Uniform Guidance 2 CFR 200.</i></p>	LEG2000	Retain while active plus three 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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RSP23-06	P/E	C	<p><u>IRB/ Human Subject Files</u> Administrative records on medical and non-medical human subjects for research studies. These include application materials, approval documents, continuing review, modifications, incident reports, closure requests, and related correspondence with researchers. These records also include convened meeting agendas and minutes, member records, post-approval monitoring records, internal program evaluations and other records produced by the Institutional Review Board. Some records are cross-referenced in <i>Grant Files-Awarded</i>.</p> <p>Note1: Human subject files involving a waiver of HIPAA authorization granted by the IRB must be retained for six years after closure of study.</p> <p>Note2: Human subject files involving a FERPA exception must be retained for six years after closure of study.</p> <p>Note3: If the study takes place at a VA Center, including the Dayton VAMC, the human subject files must be retained for six years from the end of the fiscal year that the study concluded.</p>	LEG2000	Retain while active plus three years after completion of research, then destroy unless otherwise stipulated by granting agency or researcher* *Please see regulatory exceptions noted in description
RSP23-07	P/E	C	<p><u>Human Subject Files Consent forms</u> "Informed Consent" forms signed by human subjects (project participants) and maintained by principal investigators.</p> <p>Note1: If form contains a HIPAA authorization, it must be retained for six year from completion of study.</p> <p>Note2: if form contains a FERPA release, it must be retained for six years from completion of study.</p> <p>Note3: If the study takes place at a VA facility, including the Dayton VAMC, the release form must be retained for six years from the end of the fiscal year that the study concluded.</p>	ADM9900	Retain for three years after completion of research, then destroy unless otherwise stipulated by granting agency or researcher. *Please see regulatory exceptions noted in description

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RSP15-08	P/E	C	Laboratory Animal Files Administrative records on laboratory animals used in research studies. These include petition form, approval and continuing review documents, amendments, protocols written by principal investigators and related correspondence, as well as meeting minutes, program evaluations and other records produced by the Institutional Animal Care and Use Committee (IACUC), etc.; requirement documentation from the Office of Laboratory Animal Welfare), USDA, etc. Some records are cross-referenced in <i>Grant Files-Awarded</i> .	LEG2000	Retain while active plus three years after completion of the activities, then destroy unless otherwise stipulated by granting agency or researcher.
RSP15-09	P/E	C	Biosafety Files Administrative records on biosafety issues during research studies. These include petition form, approval and continuing review documents, amendments, 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 <i>Grant Files-Awarded</i> .	LEG2000	Retain while active plus three years after completion of the activities, then destroy unless otherwise stipulated by granting agency or researcher.
RSP15-10	P/E		Grant files- Not Funded	ADM9900	Retain paper copies for 6 months after notification.
RSP15-11	P/E	H	Newsletters 1. <i>Research News</i> 2. <i>RSP Annual Report</i>	PUB3000	Transfer PDF file to Archives with a Certificate of Disposal record. Destroy extra copies when of no further administrative value.
RSP15-13	P/E	C	Personnel Files-Department Files can contain position descriptions, applications, letters of appointment or change, personnel data, notice of salary rate, annual contracts, performance evaluations, PERS forms, previous state service forms, reclassification notices, letters of commendation or reprimand, publications, evidence of continuing education, transfers, leave of absence requests, payroll forms, vacation and sick leave reports, resignations, termination notices. <i>Long term information held by HR</i>	PER3000	Destroy six years after termination. If subject to legal action, retain until final disposition.

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RSP17-17	P/E	C	<u>Personnel Files- Recruitment- Employee Selection- Unclassified Staff</u> Records of individuals who applied or interviewed for positions for which a committee was formed. Files may include: search committee minutes and reports, interview questions, screening chart, applicant credentials, committee/applicant correspondence, authorization to hire forms, request to interview/offer position, and status of offer form.	PER2000	Retain for three years then destroy.
RSP15-14	P/E	H	<u>Policies and Procedures-Office of Research & Sponsored Programs</u> Procedural records documenting RSP-approved methods or processes for performing grant-funded project activities to ensure uniformity and compliance with institution and legal requirements.	ADM3000	Retain information on the web and/or shared drive until obsolete or superseded.
RSP16-15	P/E		<u>Statements of Financial Interest</u>	LEG2000	Retain for three years of date of original disclosure.
RSP18-18	P/E	C	<u>Research Standards- Allegations of Misconduct</u> Documentation regarding allegations of research misconduct, and any records of related inquiries and/or hearings.	LEG4000 (See Wright State Policy 6120)	Retain for 7 years after completion of all proceedings involving the research misconduct allegation.

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