

Provost Vice Chancellor for Academic Affairs
Office of Research and Projects
Graduate School

1700.001 Competitive Graduate Awards Files (Agency Record Copies)

Dates: 1972-
Volume: 1 ½ Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This set of program files document the school's administration of financial assistance grants to graduate student research projects. The series primarily consists of grant proposals and attendant applications for grant assistance (successful and unsuccessful).

Recommendation: For successful grant applications and proposals, retain in office for five (5) years following the date of the final grant award payment, the transfer to the University Archives for permanent retention.

For unsuccessful grant applications and proposals, retain in office for three (3) years lapsed from the date of notification of rejection by the granting entity, then dispose of in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

Disposition Approved 8/20/08

1700.002 Graduate Faculty Appointment Review and Appointment Criteria Files

Dates: 1972-
Volume: 4 ½ Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This series documents graduate faculty appointments in the school's assemblage of graduate faculty. The university's central documentation of individual graduate faculty status is maintained within the Graduate School files..

Recommendation: Retain the graduate faculty appointment forms for five (5) years following separation from employment of the respective faculty member, then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

Retain the graduate faculty appointment criteria until revised, then transfer to the University Archives for permanent retention.

Disposition Approved 8/20/08

1700.003 Summary of Admission Standards and Graduation Requirements

Dates: 1972-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: N/A

This is a narrative summary of admissions standards and graduation requirements used in administering graduate studies admissions and degree awards.

Recommendation: Retain in office until revised, then transfer to the University Archives of permanent retention.

Disposition Approved 8/20/08

1700.004 Inactive Applications for Admission to Graduate Studies with Supporting Documents

Dates: 1972-
Volume: 18 Cubic Feet
Annual Accumulation: 1 ½ Cubic Feet
Arrangement: Chronological and Alphabetical

These are applications for admission to graduate studies with supporting documents, including copies of transcripts and letters of recommendation, which are inactive from the failure of accepted applicants to enroll or the denial of applications following review. Applications are valid for three (3) years following initial submission, after which time applicants must fully re-apply to reinstate candidate status.

Recommendation: Retain In office for three (3) years following the attainment of inactive status, then dispose of (by shredding) providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

Disposition Approved 8/20/08

1700.005 Reference Copies of Academic Transcripts (Duplicates)

Dates: 1973-
Volume: 84 Cubic Feet
Annual Accumulation: 3 Cubic Feet
Arrangement: Chronological and Alphabetical

This is an accumulation of reference copies of student academic transcripts collected by the office in its review of admissions applications and related matters of academic accreditation. The original academic transcripts of enrollees are maintained and scheduled for disposition by the university's Office of Admissions and Records per a separate item of this records disposition application. (This series includes transcripts submitted by both successful and unsuccessful candidates for admission.)

Recommendation: Retain in office for five (5) years lapsed from the date of generation and/or receipt of the transcripts then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

Disposition Approved 8/20/08

1700.006 Graduate School Affiliated Student Organization Support and Oversight File (Originals and Duplicates)

Dates: 1985-
Volume: 2 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This series documents the school's files generated and used for the support and oversight of Graduate School affiliated student organizations. File series contents include: the organization's original constitutions and charters; the organization's publicity files (i.e., photographs, press releases, etc.); the organization's oversight records, which include documents of any disciplinary charges and proceedings lodged and convened against the organizations and student member GPA monitoring results; related budget and fiscal records documenting the organizations' expenditures and support (duplicates); and any related correspondence/memoranda.

Recommendation: Retain in office for five (5) years then destroy in a secure manner the organization related budget and fiscal records and all organization oversight and disciplinary records providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated. Transfer all other record series documents to the University Archives for permanent retention.

Disposition Approved as Amended 08/20/08

1700.007 Fiscal Management and Grant Post Award Records (Originals)

Dates: 1972-
Volume: 6 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of all original externally sponsored (state and federal) grants and contracts post award and fiscal management records that include: award documents; negotiated contracts and amendments; invoices; financial and performance reports; collection reports; correspondence to/from funding agencies; cost transfers; payroll certifications; journal entries; time and effort reports; subcontracts; sub-recipient monitoring records; sub-recipient audit reports; agency specific audit reports; cost share documents; indirect cost recovery and distribution reports. Grant fiscal management records for (a) major construction (e.g. new buildings) and (b) real property and equipment (e.g.

computer purchases) are included in this record series.

- Recommendation:
- a) Major Construction: Retain records in office for ten (10) years from the date of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.
 - b) Real Property and Equipment: Retain records for real property in office for twenty (20) years from the date of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated. Retain records for equipment in office for three (3) years from the date of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.
 - c) General Grant: Retain records in office for five (5) years from the date of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

1700.008 Animal Care and Use Records

Dates: 1982-
Volume: 2 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Alphabetical

This record series consists of animal care forms, animal care protocol forms, animal welfare assurance documents, animal training certificates and continuing review report forms. Forms are completed by faculty, staff and students. These records are maintained for all University departments that receive any type of grant funding for compliance purposes.

Recommendation: Retain in office for three (3) years after completion of grant, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

Disposition Approved 12/21/16

1700.009 Responsible Conduct Records

Dates: 2004-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Alphabetical

This record series consists of certificates obtained by on-line mandatory and optional federal compliance training through the Collaborative Institutional Training Institute (CITI) and Epigeum which is a leading provider of exceptional online courses designed to assist universities and colleges transform their core activities in teaching, research, etc. These records are maintained for all University departments that receive any type of grant funding for compliance purposes.

Recommendation: Retain in office for three (3) years after completion of grant, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

Disposition Approved 12/21/16

1700.010 Biohazardous Material Records

Dates: 1982-
Volume: 2 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Alphabetical

This record series consists of documents to be completed by faculty, staff and students for when they are required to use biohazardous materials in grant projects and for instruction purposes. The documents include a risk assessment tool to measure the project's level of safety and an application for biohazardous material use. The applications are evaluated by the University's Biosafety Committee. These records are maintained for all University departments that receive any type of grant funding for compliance purposes.

Recommendation: Retain in office for thirty (30) years after the date of completion of project, then destroy in a secure manner or delete from system, provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

Disposition Approved as Corrected 12/21/16

1700.011 Conflict of Interest Records

Dates: 2012-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Alphabetical

This record series consists of a lead investigator form, a general conflict of interest form (C.O.I.) and/or financial disclosure form. The C.O.I. documents potential conflicts of interest involving faculty, staff and students. The financial disclosure forms must be submitted if the grant is funded by a federal agency. The lead investigator is a faculty member who is the head of the project and all investigators are required to complete a financial disclosure form annually. These records are maintained for all University departments that receive any type of grant funding for compliance purposes.

Recommendation: Retain in office for three (3) years after the date of completion of the project or for the period required by the federal grant whichever is longer, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

Application 07-09

Disposition Approved as Amended 12/21/16