Record Retention Guidance for Sponsored Projects

REASON FOR GUIDANCE
To ensure that financial records, supporting documents, statistical records, and all other record pertinent to sponsored awards are retained for the minimum period of time as required by 2 C.F.R. 200.333 (commonly called “Uniform Guidance”), the State of Connecticut, the University and specific sponsor requirements.

APPLIES TO
All Faculty, Staff, students and others involved in the administration of sponsored projects at University of Connecticut (UConn).

DEFINITIONS
Uniform Guidance (2 C.F.R. Part 200): The Office of Management and Budget’s (OMB) “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards” (commonly called "Uniform Guidance") is a "government-wide framework for grants management" and is an authoritative set of rules and requirements for Federal awards that synthesizes and supersedes guidance from earlier OMB circulars.

GUIDANCE
This guidance outlines the period of time that records pertinent to sponsored awards must be retained by UConn. The retention period begins from the date of the submission of the final expenditure report, or in the case of awards renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, respectively or final closeout as defined by the sponsoring agency. Records must be retained for the period of greatest duration as applicable and as required by:

- State of Connecticut and University record retention schedules- See “S3-060” Grant Files http://ctstatelibrary.org/wp-content/uploads/2015/05/S3-Fiscal.pdf (see also UConn extended record retention, link provided below)
- UConn extended record retention- see https://rim.uconn.edu/extended-retention-periods-university-records/
- 2 C.F.R. Part 200.333 which states that all pertinent records to federal awards must be kept for a period of three years
- Sponsor policy
- Terms and conditions of the award

CONTACT
For additional information on this guidance, please contact: SPS@uconn.edu

HISTORY
This Guidance created in current format and approved by the Associate Vice President for Research, Sponsored Program Services on 5/21/19 to better document existing practices and requirements.

Revised 6/28/19 to clarify as guidance