

OP8410 RESEARCH GRANT MANAGEMENT (EXTERNAL PROGRAMS)

Records documenting the application for external research grants.

Includes the submission of application materials in hardcopy and online, applications monitored by head of departments and research services, receipt of award notices, management of installments and overdrafts, and maintenance of data summary and approval signatures.

Used for NSERC, SSHRC, Killam, CIHR and other external research grants applications.

Not used for the maintenance of the financial account assigned to the research funds. See AD2500. Not used for applications for internal research grant. See OP8420.

Example documents: Applicants CVs, application documents, correspondence.

University Records exist in both physical and electronic formats, such as paper, email or data in a database. Paper records may or may not contain information that is duplicated in an electronic system. For technical reasons the retention assigned to the electronic records may be different from the retention of physical records. If there are differences, see instructions in this schedule for details.

OPR - University Research Services

(Unless otherwise assigned, see below)

NO.	TYPE OF RECORD	Active yr(s)	Semi-Active	Dis-position	Personal Info
31	Successful Research Grant Applications Files	ET + 5	3	D	YES

Records consist of hardcopy applications, transcripts, copies of curriculum vitae, departmental approvals, university approvals, research data summary and signature forms (signed copies), notification of award. In some cases birth certificates and citizenship or immigration status, animal care certifications are required. For data in DSS system, see 40.

ET Definition: Notice of the granting of an award is received.

Retention based on anticipated operational use.

32	Unsuccessful Research Grant Applications Files	ET + 2	0	D	YES
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Records consist of submission materials for external research grant applications. For data in DSS system, see 40.

ET Definition: Notice of grant not being awarded received.

Retention based on anticipated operational use.

GLOSSARY

FY = Fiscal Year (May 1 to April 30)

AY = Academic Year (September 1 to August 31)

CY = Calendar Year (January 1 to December 31)

ET = Event Trigger

OPR = Office of Primary Responsibility

DP = Special Disposition Plan

AR = Transfer to Archives

D = Destroy / Delete

PIB = Personal Information Bank

NO.	TYPE OF RECORD	Active yr(s)	Semi-Active	Dis-position	Personal Info
33	Overdraft Applications	ET + 1	0	D	YES
<p><i>Records consist of the materials submitted when applying for overdrafts of an account against the next installment of a research grant.</i></p> <p><i>ET Definition: Overdraft requests approved by both department or unit head and Office of Research Services.</i></p> <p>Retention based on anticipated operational use.</p>					
34	Undergraduate Student Research Award Files	ET + 1	3	D	YES
<p><i>Records consist of application forms, transcripts and other supporting documents.</i></p> <p><i>ET Definition: Award granted.</i></p> <p>Retention based on anticipated operational use.</p>					
40	Research Data Summary and Signature (DSS) Records	ET + 0	0	P	YES
<p><i>Data used for facilitating research funding applications. Includes investigators' general information, funding agencies' information, budget information, summary of reviews and credentials. Also used for generating different statistical reports.</i></p> <p><i>ET Definition: Data entered into the system.</i></p> <p>Retention based on anticipated operational use.</p>					

This schedule applies to official records. Convenience or duplicate copies of official records should not be kept longer than necessary, and in no event longer than the official copy.

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