UNIVERSITY OF WISCONSIN - MADISON

RECORDS RETENTION POLICY AND DISPOSITION SCHEDULE
FOR

Office of the Vice Chancellor for Research and Graduate Education (VCRGE)
Office of Research Services
(340256)

2015
We the undersigned have reviewed the above records series and approve the outlined retention and disposition. Approval is contingent on restrictions on records destruction contained in S.19.35 (5), Wisconsin Statutes, (Open Records Law) and that no records are destroyed if litigation or audit involving these records has commenced or is imminent.

John Schroeder  
Dean/Department Chair/Administrative Officer  

Petra Schroeder  
Dean/Dept. Chair/Admin. Officer–PLEASE PRINT

Erik Dell'Acqua  
University Legal Counsel

Margaret E. Eisch, CER  
University Records Officer

Dalis Hull  
University Archivist

State Archivist  

Executive Secretary

APPROVAL SUBJECT TO 10-YEAR SUNSET. RESUBMITTAL REQUIRED PRIOR TO JUNE 2025

2/18/15  
Date

3/20/15  
Date

3/20/15  
Date

3/20/15  
Date

JUN 10 2015  
Date

7/10/15  
Date

2. University of Wisconsin-Madison Retention and Disposition Schedule for VCRGE – Administration – Research Services
I. INTRODUCTION AND PURPOSE
This retention schedule represents the official University of Wisconsin-Madison policy with regard to the retention and disposition of all university and public records and information and has the approval of the University Records Management Advisory Group (URMAG) and the Wisconsin Public Records Board (PRB). The PRB is the statutory body with the responsibility to safeguard the financial, legal, administrative, and historical interests of the State in the disposition of records through the review of records schedules prepared by State agencies.

This retention schedule also provides guidance to University of Wisconsin-Madison employees regarding what does and does not comprise a public record. The UW-Madison campus must manage all records to ensure systematic control from creation or receipt through processing, distribution, maintenance, retrieval, retention and final disposal for records retention purposes.

II. SCOPE:
This schedule pertains to the records and information arising from currently understood UW-Madison record policies and procedures. It applies to all such records regardless of format or media. While an attempt has been made to describe the records in commonly used terms, there may be instances in which the schedule does not reflect the exact title or name used by a given department. If offices or departments cannot determine by the descriptive information provided on each item whether a given departmental record is covered or not, they should contact the University Records Officer. An attempt has been made to include all records commonly required or used within the University campus. However, as processes change, forms may be modified and new ones created, and documentation requirements may also change. This schedule will be reviewed periodically to ensure that it is kept as up-to-date as possible. This schedule applies to all organizational units of the University of Wisconsin-Madison and any attached entities that are required to follow UW-Madison policies.

III. SUSPENSION OF THE RECORDS RETENTION SCHEDULE
University and Public Records may be delayed from disposition / destruction only under the following conditions:

1. Particular records have been identified as needed for a financial or performance audit.

2. Records that are required for legal proceedings are held under a “litigation hold” for an actual or imminent legal proceeding. Imminent meaning legal action is anticipated or there is reasonable expectation thereof.
3. An open records request has been received and not completed. **Contact University Relations.** See Office of Legal Affairs - Public Records [http://legal.wisc.edu/public-records.htm](http://legal.wisc.edu/public-records.htm)

4. The Wisconsin Open Records Law, Wis. Stat. § 19.35(5), Wis. Stats, forbids the destruction of any record after an inspection or copying request until the request is granted, or at least 60 days after the date that the request was denied. Court orders and litigation may extent this time period. The agency’s legal custodian of records can provide advice. For the University of Wisconsin Madison the legal custodian is the University Relations in the Chancellor’s Office.

5. "It is the responsibility of the office holding the record to determine if an audit or litigation is pending, anticipated or imminent, of if an open record request is pending or the time specified in Wis. Stat. § 19.35(5) has not yet elapsed.

1. **UTILITY AND FUNCTION OF INFORMATION PROVIDED WITHIN THIS DOCUMENT**

a. **Minimum Retention Established and Permanent Retention Procedure.** The records retention schedules included within this document establish minimum retention periods for each type of record. The disposition of each record is assumed to be destruction after its minimum retention period or transfer to the UW Archives.

b. **Materials That Comprise Public Records.**
Under Wisconsin law, many materials comprise public records performing the transaction of public business on behalf of the University Campus. Under Wis. Stats. § 16.61, Public records are defined as " all books, papers, maps, photographs, films, recordings, optical disks, electronically formatted documents or other documentary materials, regardless of physical form or characteristics, made, or received by any state agency or its officers or employees in connection with the transaction of public business"

c. **Materials That Do Not Comprise Public Records.** Under Wisconsin law, many materials do not comprise public records. Therefore, non-records should be retained only so long as they are useful as a resource for performing the transaction of public business on behalf of the University Campus. Thereafter, in the interest of efficiency and proper resource management, they should be destroyed. Under Wis. Stats. § 16.61, the definition of "Record" does not include: duplicate copies of materials the original copies of which are in the custody of the University and which are maintained only for convenience or reference and for no other substantive purpose; materials in the possession of a library or museum made or acquired solely for reference or exhibition purposes; notices or invitations received by the University that were not solicited by the University and that are not related to any official action taken, proposed or considered by the University; drafts, notes, preliminary computations and like materials prepared for the originator's personal use or prepared by the originator in the name of a person for whom the originator is working; and routing slips and envelopes.
d. Preservation of Historical Documents. Historically, University records have been preserved in paper files. Presently, however, advances in technology are beginning to present a viable alternative to paper records: electronic data stored in many electronic systems. Because of the potential for electronically-preserved information to be lost over time as electronic systems degrade or become obsolete, electronic systems should be used as the primary manner of preserving historical documents only if measures are implemented to ensure appropriate updates to the electronic storage systems are consistently purchased, installed, and maintained, and to ensure the appropriate migration of the electronically-stored information as electronic systems become obsolete and are replaced by new technologies.


Please carefully review these documents prior to storing official copies of public records upon information systems and if you have questions or concerns, then please seek assistance from the University Records Officer.

Using the Schedule

- Use the table to locate the record series item.
- Identify whether you are the holder of the official, department, or copy of the record.
- Implement the retention and disposition noted at the level of record you hold.
- If you are uncertain about the records series item or your responsibility for it, contact the Records Officer for clarification.
- Retention periods and disposition methods outlined in this document have been reviewed and approved by the University (University Records Management Advisory Group (URMAG) – Consisting of signatures from University Archivist, Office of Legal Affairs and the University Records Officer).
VCRGE – Administration – Office of Research Services
The Office of Research Services helps to ensure effective and efficient central coordination of various functions for the campus, including: institutional and limited grant nominations, equity review of University invention disclosures, serving as a resource for faculty and other researchers for Intellectual Property (IP) policy and ownership issues, research policy issues, administration of training grant shortfall coverage, coordination of competition for prestigious Steenbock Professorships, campus-wide distribution of funding opportunities as well as any required central coordination of grant proposals. Research Services provides direct assistance to, and oversight of, pre- and post-award grant and contract administration for all VCRGE Centers. Specifically, Research Services administers gifts working directly with UW Foundation, provides approval of Outside Activities Reports, coordinates Effort Tasks and handles Export Controls issues to ensure compliance with applicable laws, policies and guidance. Finally, Research Services works closely with the office of Research and Sponsored Programs (RSP) on multiple, ongoing projects including the NSF HERD survey, A-133 audits, equipment inventory and federal regulations applicable to research institutions receiving research funding.

This Schedule covers the following record series.

2. University of Wisconsin-Madison Internal Competitions for Limited Extramural Opportunities

*Access Requirements:
Closed. Trade Secrets and intellectual property may be kept confidential under Wis. Stats. 19.35(5), certain personnel records must be kept confidential under Wisconsin Stat. § 19.36(10), and certain information pertaining to research activities, such as the security measures for specific research facilities and the locations of hazardous materials or controlled substances, are exempt from disclosure per federal law and Wisconsin Stat. § 19.36(1), Wisconsin Stat. § 19.36(9) and the balancing test. Bayh-Dole Act - Title 35 > Part II > Chapter 18 > § 205 Confidentiality.

Appraisal Note(s):
For University of Wisconsin-Madison Intellectual Property Policies and Procedures for University Research: Policies regulating intellectual property resulting from University of Wisconsin-Madison research are impacted by Federal Law as well as University of Wisconsin System policies. Some of these include: The Bayh-Dole Act 35 U.S. Code Chapter 18 – Patent Rights in inventions made with Federal Assistance; UW System Policy G2-Extramural Support Administration; UW System Policy G34-Patent Policy; UW System Policy G10-Computer Software Ownership; and UW System Policy G27-Copyrightable Instructions Material Ownership, Use and Control. Copies of these policies are available on the UW System website. This
records series is the official record for University of Wisconsin-Madison Intellectual Property Policies and Procedures for University Research. As these UW-Madison policies are revised and or superseded, changes will be transferred to the University Archives for inclusion with existing series.

See retention schedule on next page.
<table>
<thead>
<tr>
<th>Record Series ID Number</th>
<th>Record Series Title</th>
<th>Record Series Description</th>
<th>Retention</th>
<th>Media Type</th>
<th>Disposition</th>
<th>Office of Record</th>
</tr>
</thead>
<tbody>
<tr>
<td>34001823</td>
<td>University of Wisconsin-Madison Intellectual Property Policies and Procedures for University Research</td>
<td>This record series is the official set of University of Wisconsin-Madison policies and faculty, staff and student responsibilities, regarding intellectual property rights and procedures to be followed in reporting inventions and copyrightable materials arising from University research. The documents describe and discuss the University of Wisconsin-Madison policies and procedures relating to intellectual property created during and in the course of sponsored research.</td>
<td>Retention: EVT + 7 Years EVENT = Date Policy or Procedure is Revis ed or Superseded</td>
<td>Paper/Electronic</td>
<td>Transfer to the UW-Madison Archives for permanent accession</td>
<td>VCRGE-Research Services</td>
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<td></td>
<td></td>
<td></td>
<td>Confidential: No or PII: No</td>
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<td>VITAL RECORD</td>
<td>NEW Records Series which is Superseding 1437</td>
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<td></td>
<td></td>
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<td>PII Registry: N/A</td>
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<tr>
<td>34001824</td>
<td>University of Wisconsin-Madison Internal Competitions for Limited Extramural Opportunities</td>
<td>This record series includes the announcements of the opportunity and internal competition procedures to campus through an email message and posting of this information on the VCRGE website, receipt of internal applications, establishing an ad hoc internal review panel,</td>
<td>Retention: EVT + 6 Years EVENT = Agency Deadline for each Competition.</td>
<td>Electronic</td>
<td>Destroy Confidential</td>
<td>VCRGE-Research Services</td>
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<tr>
<td></td>
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<td>Copies: Destroy when no longer need, but not longer than the Originals.</td>
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<td>VITAL RECORD</td>
<td>NEW Records Series which is Superseding 1346</td>
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<tr>
<td>Collection of score sheets and final selections decision.</td>
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<td>Email notification to applicants selected, and those not selected to inform them of their status.</td>
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<tr>
<td>Confidential: Yes per or PII: Yes</td>
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<tr>
<td>PII Registry: Yes (b) Applicants are employees of UW</td>
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<td>* See Access Requirements</td>
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</tbody>
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9 University of Wisconsin - Madison Retention and Disposition Schedule for VCRGE – Administration – Research Services