RECORDS RETENTION/DISPOSITION AUTHORIZATION
SIGNATURE PAGE

<table>
<thead>
<tr>
<th>Agency #</th>
<th>Agency Name</th>
<th>UDDS#</th>
</tr>
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<tbody>
<tr>
<td>285A</td>
<td>UW-Madison</td>
<td>A340275</td>
</tr>
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College
Graduate School

Department/Division
Office of Research Policy

This is a Campus-wide Schedule

List of Records Series:

<table>
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<tr>
<th>RDA #</th>
<th>Title</th>
<th>Dates</th>
<th>Format</th>
<th>Volume</th>
<th>Retention</th>
<th>Disposition</th>
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<tbody>
<tr>
<td>#01649</td>
<td>Research Data and Records</td>
<td>Present</td>
<td>All formats and media</td>
<td>--</td>
<td>EVT + 7 years EVT= Close of the research project.</td>
<td>Destroy Confidential may contain PII</td>
</tr>
</tbody>
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NEW BSDS RDA

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 be destroyed if litigation or audit involving these records has commenced.

James A. Wells
Dean/Department Chair/Administrative Officer

Margaret E. Ensel
University Records Officer

Executive Secretary - PRB

APPROVAL SUBJECT TO 10-YEAR SUNSET. RESUBMITTAL REQUIRED PRIOR TO February 2022
Description of College and/or Department:
ORP provides oversight of the University of Wisconsin-Madison’s research compliance programs, activities and processes. The Director, who reports to the Associate Dean for Research Policy is responsible for coordinating and monitoring these programs to assure that the University is compliant with federal, state and local laws and regulations as well as University policies. Office staffs develop policy, guidelines, and procedures often in collaboration with other campus units, perform outreach and educational activities, and support faculty committees that review research or advise campus leaders on research policy.

Description of Records Series:

01649. Research Data and Records – Campus-wide record series.

DESCRIPTION:
This policy shall apply to all University of Wisconsin-Madison faculty, academic staff, visiting scholars, postdoctoral fellows or other trainees, research technicians, and graduate or undergraduate students and any other persons at UW-Madison involved in the design, conduct or reporting of research at or under the auspices of UW-Madison, and it shall apply to all research projects on which those individuals work, regardless of the source of funding for the project.

Data and Records means recorded factual material, regardless of the form or media on which it may be recorded, that is commonly accepted in the research community as necessary to validate research findings. For example, data may include writings, films, sound recordings, pictorial reproductions, drawings, designs, or other graphic representations, procedural manuals, forms, diagrams, work flow charts, equipment descriptions, data files, statistical records, and other research data.

This definition pertains to both primary and secondary data. Primary data means data generated by research conducted at the University, under the auspices of the University, or with University resources. Secondary data means data owned and or generated by another party, data collected from administrative records, or data designated for public use, but used in whole or in part for research conducted at the University, under the auspices of the University, or with University resources.

This definition of data excludes research results based on data such as preliminary analyses, drafts of research papers, published papers, and plans for future research, peer reviews, or communications with colleagues.

This definition does not supersede any campus policy pertaining to intellectual property. Retention is the minimum retention.

MEDIUM / FORMAT: In all formats and media
RETENTION: EVT + 7 Years  
EVENT= Close of the research project

DISPOSITION: Destroy Confidential, may contain PII

ACCESS REQUIREMENTS: Not subject to public disclosure. Contact Laboratory Department Chair in consultation with the Dean for permission to access. Trade secrets and intellectual property may be kept confidential under section 19.35, Wis. Stats., certain personnel records must be kept confidential under section 19.36(10), Wis. Stats., and certain information pertaining to research activities, such as the security measures for specific research facilities and the location of hazardous materials or controlled substances, are exempt from disclosure per federal law, 19.36(1), Wis. Stats., 19.36(9), Wis. Stats., and the balancing test.

APPRASIAL NOTE: The retention period of 7 years is consistent with UW Madison's Policy on misconduct in scientific research and the Policy on Data Stewardship, Access and Retention.

This records series has long-term value to the University because of its interest in patent development. The retention of these records is influenced by their use in litigation support. Should the University Archives determine to de-accession any research materials, the Department or Unit head would be contacted prior to disposal in the event any patent applications remain pending for which research materials provide supporting documentation.

In order to safeguard the information contained in these records, to make sure that it remains available throughout the stated retention period, and to meet the requirements of Administrative Rule 12, a readability and retrieval check must be done at least every 3 years and transfer to new storage media at least every 5 years. (see http://archives.library.wisc.edu/records/legal.html#adm12)

New Records Series – GRS for Campus-wide use