

**UNIVERSITY OF WISCONSIN SYSTEM  
GRANT AND RELATED RECORDS  
GENERAL RECORDS SCHEDULE**

*11/2016*



**[UW-System-wide Records]**  
[University System Grant Related Records]

**Program Description:**

**UNIVERSITY OF WISCONSIN – SYSTEM: GENERAL RECORDS AND DISPOSITION SCHEDULES**

**INTRODUCTION AND PURPOSE**

This retention schedule represents the official University of Wisconsin-System policy with regard to the retention and disposition of all university public records and information and has the approval 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-System employees regarding what does and does not comprise a public record. The UW-System Campuses 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.

**SCOPE:**

The University of Wisconsin System comprises fifteen distinct institutions, this schedule pertains to the records and information arising from currently understood UW-System 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 their campus University Records Officer. An attempt has been made to include all records commonly required or used within the University campuses. 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 insure that it is kept as up-to-date as possible.

**UTILITY AND FUNCTION OF INFORMATION PROVIDED WITHIN THIS DOCUMENT:**

**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 Institutional Archives.

**Materials That Are Public Records.**

Under Wisconsin law, many materials are public records constituting the transaction of public business on behalf of the University Institution. Under Wis. Stat. §16.61, Public records are defined as “all books, papers, maps, photographs, films, recordings, optical disks, electronically

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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”.

### **Materials That Are Not Public Records**

Under Wisconsin law, many materials are not public records. 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. Thereafter, in the interest of efficiency and proper resource management, they should be destroyed. Under Wis. Stat. §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.

### **Electronic Record Preservation**

Historically, University records have been preserved in paper files. Presently, however, advances in digital technology present a viable alternative to paper records. 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 records 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 versions of public records upon information systems and if you have questions or concerns, then please seek assistance from the campus University Records Officer.**

Because of the consequences of failing to appropriately maintain electronic information technology systems, records storage within an electronic information system must comply with the legal requirements set forth in Board of Regents Policy Document 3-2: University of Wisconsin System Public Records Management; and Wisconsin Administrative Rule 12: Electronic Records Management-Standards and Requirements.

### **Suspension of the Records Retention Schedule**

Records that have reached their destruction date, should nevertheless be retained in the following situations:

1. The records relate to pending or anticipated litigation
2. The records relate to audit or similar review.
3. The records are subject to a public records request under Wis. Stat. §19.35(5).

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4. Pursuant to Wis. Stat. §16.61(4)(c), the RDA governing the retention of the records is inactive or under development.

**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.
- 

**Laws & Requirements:**

Wis. Stat. §134.90 Uniform Trade Secrets Act

Wis. Stat. §19.36 (5) Trade Secrets

Wis. Stat. §19.36 (10) Employee Personnel Records

Wisconsin Administrative Rule 12: Electronic Records Management-Standards and Requirements

42 CFR 93.317 Research Misconduct

45 CFR 46.116 General requirements for Informed Consent

**Electronic Systems:**

These records may be stored electronically in shared network drives, databases or other collaborative space.

**Appraisal Note:**

These records series may be subject to promises of confidentiality made to research subjects pursuant to 45 CFR 46.116. May contain the trade secrets of research sponsors and intellectual property of investigators subject to Wis. Stat. §134.90 and Wis. Stat. §19.36 (5) and the balancing test. May contain certain personnel records subject to Wis. Stat. §19.36(10). Communications between investigators, sponsors and Institutional Review Board's (IRB) must be frank and honest to protect subject safety, which may preclude disclosure under the balancing test. Disclosure may be in violation of confidentiality agreements entered into with sponsors or other record holders. 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 Wisconsin Administrative Rule 12 a readability and retrieval check should be completed at least every 3 years.

**Official Records & Copies:**

This schedule specifies the designated location of the official record for each series listed. It also identifies retention policies for **all** copies of records, in all locations and in all records media.

- **Official Record:** The official record is the most complete and up-to-date version.

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- **Working Copies:** Staff may generally destroy rough draft materials that are subsequently finalized and maintained as part of the official record. However, staff may retain significant drafts when needed to document the decision-making process within the official record.
- **Reference or Convenience Copies:** Staff may maintain duplicate or working copies of records described in this schedule for convenience and/or reference purposes. Copies may be retained for as long as needed, but they should not be kept longer than the RDA for the official copy of record as specified in this schedule. Do not maintain **unnecessary** duplicate copies. When retained for “convenience of reference only,” copies are considered non-records under Wis. Stat. § 16.61(2). Do **not** send copies to storage or retain them for longer than the retention periods specified for the official copy.

**For additional information and assistance implementing this retention schedule, contact: Your University Records Officer.**

Agency Records Officer authorized by UW Records Officer Council (UWROC) to create this schedule:

Peg Eusch, CRM UW-Madison Records Officer [peg.eusch@wisc.edu](mailto:peg.eusch@wisc.edu)

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Approval Signatures

Jennifer Sloan Lattis 9/2/2016  
System Legal Counsel Date (mm/dd/ccyy)  
Deputy General Counsel

Margaret E. Eusek 9/2/2016  
Agency Records Officer Date (mm/dd/ccyy)  
Author UWSA Schedule UW-MAD.

PUBLIC Records Board Approval: Authorization is contingent on restrictions to record destruction contained in Wis. Stat. § 19.35(5), Open Records Law, and that no records are destroyed if litigation or audit involving these records has commenced or is anticipated.

Matt Reising  
State Archivist

NOV 14 2016  
Date (mm/dd/ccyy)

Linda Forth 11/23/16  
PRB Executive Secretary Date (mm/dd/ccyy)

APPROVAL SUBJECT TO 10-YEAR  
SUNSET. RESUBMITTAL REQUIRED  
PRIOR TO November 2026

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| 1. RDA # /Status                                     | 2. Series Title / Description  | 3. Record Series Year of Creation | 4. Medium for Record Storage | 5. PII | 6. Registry Exempt | 7. Confidential | 8. Essential (opt.) | 9. Official Record Location (opt.) | 10. Minimum Retention / Disposition / Event   |
|--|--|-----------------------------------|------------------------------|--------|--------------------|-----------------|---------------------|------------------------------------|---|
| <b>11. [University System Grant Related Records]</b> |  |                                   |                              |        |                    |                 |                     |                                    |   |
| UWGNT001<br><br>New                                  | <p><b><u>Grant Folders – Federal and Non-Federal - Accepted</u></b></p> <p>This record series contains, but is not limited to, the records contained in the grant application process to campus research offices which were accepted and would be included as part of the grant folder. Records would include project proposals, letter of support, supplementary material, minutes of review meeting, review reports, necessary signatures, and other documentation which was submitted and approved.</p> <p>Other records that would be included as part of the grant folder are transmittals, awards, budgets and other grant financial accounting, and all other documentation related to the procurement of federal grants. In addition all reports, forms, and documentation related to Performance and Accountability Reports (PARs), as well as reports and supplemental information for verification of grants and contracts.</p> <p>Documentation associated with grants approved by campus research offices and accepted for funding by grantor agencies. Such documentation may include, but is not limited to: contracts, progress reports, use agreements, final reports, and other related records.</p> | 1971                              | Paper and Electronic Format  | Yes    | No                 | No              |                     |                                    | <p><b>Retention:</b><br/>                     EVT+6 Years<br/>                     EVENT=<br/>                     Date that the Grant was Closed</p> <p><b>Disposition:</b><br/>                     Destroy<br/>                     Confidential</p> |

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|          |   |      |                             |     |     |     |  |  |
|----------|---|------|-----------------------------|-----|-----|-----|--|--|
| UWGNT002 | <p><b><u>Grant Proposals Review Files – Rejected or No Response</u></b><br/>                 Grant applications, approved by campus research offices and submitted to grantor agencies that have either been directly rejected or have not received a response from the grantor agency for a period of time not exceeding one year after the proposed start date of the grant project.</p>  | 1971 | Paper and Electronic Format | No  | No  | No  |  | <p><b>Retention:</b><br/>                 EVT+ 4 Years<br/>                 EVENT=<br/>                 Date Grant Rejected or No Response</p> <p><b>Disposition:</b><br/>                 Destroy</p>                               |
| UWGNT003 | <p><b><u>Grant Files - UW-System Administered</u></b><br/>                 Applications and documentation for grant programs such as the Challenge Grant and other grants run by UW-System and often facilitated by campus research offices. The files include applications, public meeting minutes, budget forms, system award documentation, non-award documentation, and evaluation materials.</p>   | 1971 | Paper and Electronic Format | No  | No  | No  |  | <p><b>Retention:</b><br/>                 EVT+6 Years<br/>                 EVENT=<br/>                 Date that the Grant was Closed</p> <p><b>Disposition:</b><br/>                 Destroy</p>                                    |
| UWGNT004 | <p><b><u>Grant Files - Internal Grant Award Documentation</u></b><br/>                 Documentation of the winners of internal grants awarded by the University Research Office or granting units. Information contained would include, but not be limited to, the name and scope of project, the amount of money requested, and the start and end dates of the projects. This data has long-term administrative and historical value to the University Research Office or university granting units on the university campus in tracking internal grants.</p> | 1971 | Paper and Electronic Format | No  | No  | No  |  | <p><b>Retention:</b><br/>                 EVT+6 Years<br/>                 EVENT=<br/>                 Date that the Grant was Closed</p> <p><b>Disposition:</b><br/>                 Destroy</p>                                    |
| UWGNT005 | <p><b><u>Scientific or Research Misconduct Records</u></b><br/>                 Records documenting accusations of misconduct brought forward by or against faculty or students and relating to research projects. These records include accusation statements; inquiry committee findings; and related correspondence, hearing and review records and final report.</p>  | 1971 | Paper and Electronic Format | Yes | Yes | Yes |  | <p><b>Retention:</b><br/>                 EVT+7 Years<br/>                 EVENT=<br/>                 Date Audit or Inquiry is Closed</p> <p><b>Disposition:</b><br/>                 Destroy<br/>                 Confidential</p> |

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| <b>Related Records Series or System-wide General Records Schedules (GRS)</b> |   |   |
|--|---|---|
| <i>Note: information only</i>  |   |   |
| <b>RDA Number</b>  | <b>Record Series Title and Description</b>  | <b>Notes/Comments</b>                   |
| UWSFA008   | Student Grant Administrative Files  | See UWSA Student Financial Aid Schedule |
| UWSFA009   | Student Grant Vouchers  | See UWSA Student Financial Aid Schedule |
|  | <b>NOTE: There may departmental specific schedules for your campus – Contact your University Records Officer.</b> |   |

| <b>Closed/Superseded Series</b>   |  |  |                          |
|---|--|--|--------------------------|
| <i>Note: information only. To close or supersede RDA series, complete form DOA-3806</i> |  |  |                          |
| <b>RDA Number</b>   | <b>Record Series Title</b>   | <b>Minimum Retention and Disposition</b> | <b>Action Taken</b>      |
| UWRSC001  | Grant Folders (Federal)  | EVT+4                                    | Superseded into UWGNT001 |
| UWRSC002  | Grant Folders (Non-Federal)  | EVT+4                                    | Superseded into UWGNT001 |
| UWRSC003  | UW-System Administered Grant Files                                       | EVT+4                                    | Superseded into UWGNT003 |
| UWRSC004  | Scientific Misconduct Records  | EVT+7                                    | Superseded into UWGNT005 |
| UWRSC005  | Grant Proposal Review Files  | EVT+4                                    | Superseded into UWGNT001 |
| UWRSC006  | Rejected Grant Proposals   | EVT+4                                    | Superseded into UWGNT002 |
| UWRSC007  | Accepted Grant Documentation (Non-Financial)                             | EVT+6                                    | Superseded into UWGNT001 |
| UWRSC008  | Internal Grant Documentation   | EVT+4                                    | Superseded into UWGNT004 |
| UWADM004  | Grant Documentation – Non Financial                                      | EVT+6                                    | Superseded into UWGNT001 |
| UWFA900   | Grant Folders: Federal   | EVT+3                                    | Superseded into UWGNT001 |
| UWFA901   | Gift and Grant Folders: Non Federal                                      | EVT+3                                    | Superseded into UWGNT001 |
| UWFA901A  | Gift and Grant Folders; Non-Federal and Subject to External Restrictions | EVT+6                                    | Superseded into UWGNT001 |

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| <b>Revision History</b><br><i>Note: Information only</i> |                   |                            |   |
|--|-------------------|----------------------------|---|
| <b>Revision Date</b>                                     | <b>RDA Number</b> | <b>Record Series Title</b> | <b>Action Taken</b>   |
| 08/2016  |                   |                            | Record series for grant related records are being combined for ease of use and updated on one schedule for UWSA use by all campuses. There may still be Campus wide or department specific schedules. Check with University Records Officer with any questions. |