List of Records Series:

<table>
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<tr>
<th>RDA #</th>
<th>Title</th>
<th>Dates if known</th>
<th>Medium/ Format</th>
<th>Retention</th>
<th>Disposition</th>
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<tbody>
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<td>34001720</td>
<td>Research &amp; Sponsored Gift and Grant Contract Funds (Federal and Non-Federal)</td>
<td>1990 - Present</td>
<td>Paper and Electronic</td>
<td>EVT + 15 Years, EVT = Date of submission of Financial Report or Close of Grant, whichever is longer</td>
<td>Destroy Confidential</td>
<td>PII</td>
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New Records Series supersedes 00001000

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 §19.35 (5), Wisconsin Statutes, (Open Records Law) and that no records be destroyed if litigation or audit involving these records has commenced.

Dean/Department Chair/Administrative Officer  
Robert C. Andresen, Asst. Director  
Post-Award Services  
Research & Sponsored Programs  

Date: 12/6/13

University Legal Counsel  
Margaret E. Eisch  

Date: 1/3/2013

University Records Officer  

Date: 1/6/2013

University Archivist  

Date: 1/2/13

State Archivist  

Date: FEB 27 2013

Executive Secretary - PRB  

Date: 2/1/13

APPROVAL SUBJECT TO 10-YEAR SUNSET. RESUBMITTAL REQUIRED PRIOR TO February 2023
Records Retention Policy:

Name of College or Specific Department: Research and Sponsored Programs (RSP) promotes and facilitates the research, education, and outreach missions of the University of Wisconsin-Madison by supporting and administering extramurally sponsored programs.

See Description of series on next page:
Description of Records Series:
34001720. RESEARCH & SPONSORED UNIVERSITY GIFT AND GRANT CONTRACT FILES
(FEDERAL & NON-FEDERAL)

DESCRIPTION:
This records series consists of individual files on all gift and grant funds approved by the Board of Regents. Each file includes but is not limited to:
- Copies of all Administrative Correspondence between UW-Madison Research Administration and the Agency,
- Copies of Reports and Copies of any required closeout documents.
- This record series may also contain Project Technical Reports and Subsidiary Contracts.

MEDIUM / FORMAT: Electronic and Paper

RETENTION: EVT + 15 Years. EVENT= Date of submission of Financial Report or Close of Grant, whichever is longer

DISPOSITION: Destroy confidential – may contain PII

CONFIDENTIAL: No

PERSONALLY IDENTIFIABLE INFORMATION –PII: May contain PII

ACCESS REQUIREMENTS: Open

APPRAISAL NOTE:
This record series goes beyond the minimum Retention cited in UWFA900 and UWFA901 which is EVT + 3 Years where the EVENT= Date of Submission of financial Report or Close of the grant.

Unique Sponsor Retention Requirements. For over twenty years, UW-Madison has been one of the top five recipients of research grants and contracts in the US. Last year, over $1.1 billion of new sponsored project awards were received. There are currently over 12,000 active awards on campus. Within this large and diverse portfolio, there are a number of sponsors and specific awards that have different record retention requirements than the standard CR+ 3 years. For example, the State of Minnesota and the European Commission require grant folder records to be retained for CR + 5 years. It is not possible to negotiate changes to retain records for a shorter time frame. Because of the importance of sponsored project revenues to the University, it is important that we be able to retain our flexibility in accommodating the needs of our technology transfer operations and our sponsors. For these reasons, we believe it is necessary to retain records at the longer CR+15 year period.
ELECTRONIC APPRAISAL NOTE:
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 Refer to: http://archives.library.wisc.edu/records/legal.html#adm12 a readability and retrieval check must be done at least every 3 years and transfer to new storage media at least every 5 years.

CONDITIONS AFFECTING FINAL DISPOSITION,
All recommended dispositions stated within this schedule may be carried out by University of Wisconsin -Madison without further consultation or approval from the University of Wisconsin Archives, legal services, or internal audit with the following exceptions:

A. Public Records Request. If a public records request is received by an office for any record or records included within this schedule, then the record (s) cannot be destroyed until the request is granted, or until at least sixty days after the date the request is denied. Court orders may extend this time period. If necessary and upon request, the Office of General Counsel will provide guidance to University of Wisconsin - Madison regarding public record requests.

B. Litigation or Audit. University of Wisconsin - Madison must not only retain records that are subject of pending litigation or audit, but also suspend any disposition until such time as the litigation or audit is completed. In order to be valid, however, requests for records relating to open audit must be filled with the affected University of Wisconsin institution. And if that institution is not appraised of pending litigation or audit, then that department is not responsible for retaining records longer than the retention periods specified within this document.

Supersedes 00001000