

**UNIVERSITY OF WISCONSIN SYSTEM  
RESEARCH RECORDS  
GENERAL RECORDS SCHEDULE**

**March 2015**



# University of Wisconsin System Research Records General Records Schedule

## I. INTRODUCTION AND PURPOSE

The University of Wisconsin System comprises fifteen distinct institutions, many of which create and receive records that are similar in purpose and utility. In the interest of efficiency, therefore, this records schedule identifies categories of records that are common to all University of Wisconsin institutions, so as to avoid making each institution secure a distinct retention schedule for the same categories of records.

This general record schedule is meant to cover the administrative records of research and research-related activities, including records produced by research offices, grant offices, institutional review boards and animal care boards, health and safety-related records, and administrative records of individual researchers. The schedule is *\*not\** intended to provide retention or disposition guidelines for research product, research data, or inventions that result from research, as these documents are the intellectual property of the researcher(s).

## II. SCOPE

The record schedules described within this document include records series in the following categories:

- A. General Research Records
- B. Research Services Office Records
- C. Institutional Review Board Records
- D. Animal Care and Use Records
- E. Collaborations and Technology Transfer Records
- F. University Safety and Assurances Records
- G. Researcher and Clinical Records

A full list of schedules with live links is provided directly after this introductory material.

The schedules apply to all research records, regardless of paper or electronic format. Research records may contain confidential information or personally identifiable information (Wis. Stat. § 19.62(5)). Where records are created by University police services in conjunction with off-campus law enforcement agencies, the records retention rules governing the off-campus agency shall take precedence.

Many research records are now created and/or maintained in an electronic format. Such electronic record-keeping systems must comply with Wisconsin Administrative Code ADM 12, the Board of Regents policy on electronic records (3-2 § 4.6), and relevant FERPA regulations.

### **III. GUIDELINES APPLICABLE TO THIS GRS:**

#### **A. Preservation of Historic Records.**

Historic records are those that must be retained indefinitely because of their historical character. Historic records stored only in electronic form must comply with the legal requirements set forth in: Regent Policy Document 3-2: University of Wisconsin System Public Records Management; and Wisconsin Administrative Code Chapter Adm 12: Electronic Records Management-Standards and Requirements. It is expected that research records will occasionally be classified as historic records.

#### **B. Use of the Records Series Approach.**

The records schedules included within this document were developed using the “records series” approach defined in Wis. Stat. § 16.61(2)(c).

#### **C. Destruction Authorization.**

The records 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.

#### **D. Records to be Retained.**

In accordance with Wisconsin law, records to be retained are those defined as in the Wisconsin Statutes as “public records,” that are made or received by any university employee in connection with the transaction of university business. *See* Wis. Stat. § 16.61(2)(b). Public records do not include the following:

1. Duplicates maintained by a university employee only for convenience or reference and for no other substantive purpose.
2. Unsolicited notices or invitations which are not related to any official action taken, proposed, or considered by the University of Wisconsin System.
3. Drafts, notes, preliminary computations and like materials intended for personal use by an individual university employee or prepared by a university employee in the name of the person for whom the employee is working.
4. Routing slips and envelopes.
5. Materials that are purely the personal property of a university employee and have no relation to his or her office.

Records that are not “public records” under the definition may be destroyed at the discretion of university administrators.

#### **E. Access Conditions**

Closed, except where otherwise noted or with permission from the relevant records creator. Trade secrets and intellectual property may be kept confidential under Wis. Stat. § 19.35, and certain personnel records must be kept confidential under Wis. Stat. § 19.36 (10). 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. § 10.36(1), Wisconsin Stat. §19.36(9) and the balancing test.

### **IV. CONDITIONS AFFECTING FINAL DISPOSITION**

All recommended dispositions provided within this schedule may be carried out by University of Wisconsin administrators except that records may not be destroyed where required to be retained by law or policy including, but not limited to, a pending public records request, lawsuit, or audit.

Many, if not most, of the records in this series contain information that can be considered intellectual property under Wisconsin Stat. § 19.36, and should therefore be disposed of confidentially according to that same schedule. Retention periods are based on schedules from the Department of Administration’s Administrative Records and Risk Management record schedules, as well as federal regulations (noted within each series) and existing schedules maintained by UW-Milwaukee, UW-Madison, and elsewhere.

# Research General Records Schedule

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## General Research

### UWRSC001 Grant Folders (Federal)

Transmittals, awards, budgets, and all other documentation related to the procurement of federal grants. Also included are all reports, forms, and documentation related to PAR reports, as well as reports and supplemental information for verification of grants and contracts. This record schedule supersedes UWFA900 (Grant Folders (Federal)).

#### Retention Time Period

**Original:** EVT +4 years. Event: Date of Submission of Financial Report or close of grant. (*Note: This retention period is based on ADM00013 and includes the minimum retention dictated by the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (OMB Circular A-81). some federally-funded grant programs may require longer retention periods for these records. Consult your program officer for the most appropriate retention time.*)

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy Confidential

PII: Yes

PII Registry Exemption: No

Confidential: Yes (Wis. Stat. § 19.36 (5))

### UWRSC002 Grant Folders (Non-Federal)

Transmittals, awards, budgets, and all other documentation related to the procurement of federal grants. Also included are reports and supplemental information for verification of grants and contracts, both individually and in batch form. This record schedule supersedes UWFA901 (Grant Folders (Non-Federal)).

#### Retention Time Period

**Original:** EVT + 4 years. Event: Date of Submission of Financial Report or close of grant

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy Confidential

PII: Yes

PII Registry Exemption: No

Confidential: Yes (Wis. Stat. § 19.36 (5))

### UWRSC003 UW-System Administered Grant Files

Applications and documentation for grant programs run by UW-System and often facilitated by campus research offices. The files include applications, public meeting minutes, budget forms, award documentation, non-award documentation, and evaluation materials.

Retention Time Period

**Original:** EVT + 4 years. Event: Notice of rejection or close of grant

**Copies:** EVT +1 years. Event: Research materials forwarded to UW-System

Disposition: Destroy Confidential

PII: Yes

PII Registry Exemption: No

Confidential: Yes (Wis. Stat. § 19.36 (5))

### UWRSC004 Scientific Misconduct Records

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.

Retention Time Period

**Original:** EVT + 7 years. Event: Completion of inquiry and appeals process.

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy Confidential

PII: Yes

PII Registry Exemption: No

Confidential: Yes (FERPA and Wis. Stat. § 995.50)

## Research Services Office

### UWRSC005 Grant Proposal Review Files

Materials related to the review process for grant applications submitted to the campus research offices prior to submission to grantor agencies. These materials include, but are not limited to: project proposals, letters of support, supplementary material, minutes of review meetings, review reports, necessary signatures, and other documentation. This material should be retained for three years after the close of the review process for audit purposes, then destroyed.

Retention Time Period

**Original:** EVT + 4 years. Event: Close of Review process

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy Confidential

PII: Yes

PII Registry Exemption: No

Confidential: Yes (Wis. Stat. § 19.36 (5))



### **UWRSC006 Rejected Grant Proposals**

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. To comply with audit and appeals regulations, these rejected applications should be kept for 4 years after the date of rejection, then destroyed.

Retention Time Period

**Original:** EVT + 4 years. Event: Date of Rejection

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy Confidential

PII: Yes

PII Registry Exemption: No

Confidential: Yes (Wis Stat. § 19.36 (5))

### **UWRSC007 Accepted Grant Documentation (Non-Financial)**

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, Institutional Review Board materials or approval, final reports, and other related records. Because this documentation may need to be produced as evidence for a contract or civil suit, these records should be maintained for 6 years after the close of the project, then destroyed.

Retention Time Period

**Original:** EVT + 6 years. Event: Close of Grant

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy Confidential

PII: Yes

PII Registry Exemption: No

Confidential: Yes (Wis. Stat. § 19.36 (5))

### **UWRSC008 Internal Grant Documentation**

Data documenting the winners of grants awarded by campus research offices or granting units, the name and scope of their project, the amount of money requested, and the start and end dates of the projects. This data has long-term administrative and historical value and should be transferred to archives for permanent retention once active use has ceased.

Retention Time Period

**Original:** EVT + 4 years. Event: Close of Grant

**Copies:** Destroy when no longer needed.

Disposition: Send to UW Archives

PII: Yes

PII Exemption: No

Confidential: No

### **Institutional Review Board**

#### **UWRSC009 IRB Minutes**

Minutes, attachments, agendas and meeting announcements. Committee minutes review and approve protocols and ensure that regulations are met for research and are appropriately followed. These minutes may contain proprietary information, confidential personnel or student information, or information related to intellectual property rights and should thus be considered confidential under Wis. Stat. 19.36(5). Since these records pertain to review of specific research projects, they have little long-term administrative value.

Retention Time Period

**Original:** EVT +3 years. Event: Approval of Minutes

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy Confidential

PII: Yes

PII Exemption: No

Confidential: Yes (Wis. Stat. § 19.36(5))

### UWRSC010 IRB Protocols

Correspondence, protocols, informed consent forms (unsigned sample forms only), affiliation letters, and all other pertinent information and records pertaining to this research. After the research is completed, findings are disseminated via publication, teaching, etc.

Federal regulations (45 CFR 46.115(7) (b)) require that records be retained for at least three years after completion of research.

Retention Time Period

**Original:** EVT +3 years. Event: Completion of Research Activity

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy

PII: No

PII Exemption: No

Confidential: No

### UWRSC011 Continuing Review Records

Records of annual continuing review of projects subject to IRB oversight, as required by 45 CFR 46.109(e). Includes reminders to research project Primary Investigators (PIs) of upcoming continuing review deadlines and any forms submitted by PIs to request non-automatic review.

Retention Time Period

**Original:** CR +3 years

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy confidential

PII: Yes

PII Registry Exemption: No

Confidential: Yes (Wis. Stat. § 19.36 (5))

### UWRSC012 Determination of IRB Submission Forms

Forms completed by researchers to determine whether their projects are subject to IRB protocols. Information submitted by researchers is submitted to IRB staff to evaluate and correspond with the researcher regarding the status of their project. Because these records are primarily to allow researchers to evaluate the need to complete IRB procedures, the long-term administrative value of this series is very low.

Retention Time Period

**Original:** CR +6 months

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy

PII: No

PII Registry Exemption: No

Confidential: No

## Animal Care and Use Programs

### UWRSC013 Animal Care and Use Protocols

Animal Care and Use Protocols, created as required by federal regulations (9 CFR part 2) to review and approve any teaching/research involving animal use conducted on UW campuses or by UW researchers at other institutions.

Federal regulations (9 CFR part 2; 2.35 F) and the Health Research Extension Act of 1985 (PL 99-158 sec 495 (b)(3)(B) require that records be retained for at least 3 years after completion of the research.

Retention Time Period

**Original:** EVT +3 years and destroy. Event: Completion of research

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy Confidential

PII: Yes

PII Registry Exemption: No

Confidential: Yes (Wis. Stat. § 19.36 (5))

### UWRSC014 Animal Care Committee Materials

Minutes, attachments, agendas and meeting announcements. Committee minutes review and approve protocols for animal usage and ensure that regulations are met for research and are appropriately followed. These minutes may contain proprietary information or information related to intellectual property rights and should thus be considered confidential. Since these records pertain to review of specific research projects, they have little long-term administrative value.

Retention Time Period

**Original:** CR +3 years and destroy confidential.

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy Confidential

PII: Yes

PII Registry Exemption: No

Confidential: Yes (Wis. Stat. § 19.36 (5))

### **UWRSC015 Animal Care Certification Materials**

Records of training programs that may be required by Animal Care committees to allow researchers to conduct research on living animals. Records include, but are not limited to, brochures, instructional handouts, blank tests, training presentations, blank tests, and certification forms.

Retention Time Period

**Original:** EVT and destroy. Event: Superseded

**Copies:** Destroy when no longer needed.

Disposition: Destroy

PII: No

PII Registry Exemption: No

Confidential: No

### **UWRSC015A Animal Care Certification Results**

Records created by researchers seeking certification for Animal Care, consisting of completed tests as maintained in series UWRSC015. These records are useful mainly for verification purposes and have little or no long-term administrative value.

Retention Time Period

**Original:** EVT +6 months and destroy confidential. Event: Recording of results in master database.

**Copies:** Destroy when no longer needed.

Disposition: Destroy Confidential

PII: Yes

PII Registry Exemption: Yes (Short-term retention)

Confidential: Yes (Wis. Stat. § 19.36 (5))

### **UWRSC015B Animal Care Certification Log**

Continually-active record of all researchers who have completed the Animal Care certification process. This log is used to verify researcher eligibility to work with live animals in their research, as well as to inform Animal Care committee members of the expiration of any of their researchers' eligibility status.

Retention Time Period

**Original:** EVT + 7 years. Event: Expiration of eligibility

**Copies:** Destroy when no longer needed.

Disposition: Destroy Confidential

PII: Yes

PII Registry Exemption: No

Confidential: Yes (Wis. Stat. § 19.36 (5))

### **UWRSC016 Animal Adoption Agreements**

Records of researcher adoption of animals once the research protocol in which the animal is involved has expired. These records may include documents releasing and indemnifying the researcher's campus and UW system from claims brought as a result of ownership of the animal, as well as any supplementary information about the animal being adopted.

Retention Time Period

**Original:** CR +3 years

**Copies:** Destroy when no longer needed. Do not keep longer than original.

Disposition: Destroy

PII: No

PII Registry Exemption: No

Confidential: No

### **UWRSC017 Animal Ordering and Husbandry Records**

Forms used to procure animals for research, including any shipping and transportation forms and the records generated of the transaction, as well as forms acknowledging the receipt of the animals.

Retention Time Period

**Original:** CR +3 years

**Copies:** Destroy when no longer needed. Do not keep longer than original.

Disposition: Destroy

PII: No

PII Registry Exemption: No

Confidential: No

### **UWRSC018 Animal Health Records**

Health records associated with an animal needed to convey necessary information to all those involved in the animal's care, in contemplating utilizing these animals for research, and to share with regulatory agencies responsible for verifying the appropriate provision of veterinary care.

Retention Time Period

**Original:** EVT +3 years. Event: Completion of research activity.

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy

PII: No

PII Registry Exemption: No

Confidential: No

## Collaborations and Technology Transfer Office Records

### UWRSC019 Commercial Companies Records

Records documenting cooperative relationships with commercial companies in sharing research materials and data. This series may include but is not limited to cash receipt acknowledgments; requests for sample products; acceptances of products; and related correspondence.

Retention for agreements and contracts governing or resulting from a cooperative relationship of this nature is governed by schedule UWADM013 (Agreements and Contracts).

Retention Time Period

**Original:** EVT +5 years. Event: Completion of research activity.

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy Confidential

PII: Yes

PII Registry Exemption: No

Confidential: Yes (Wis. Stat. § 19.36 (3) & (5))

### UWRSC020 Technology Transfer Records--Administrative

Records documenting the transfer of technology from this institution to outside agencies as the result of research projects and grants carried out at the institution. This series includes, but is not limited to, documentation and correspondence related to patents and licensing, descriptions and titles of inventions, sources of funding to create the inventions, details of the provenance of the inventions and their documentation, including to whom the inventions have been disclosed, suggested manufacturers, and reports issued concerning the inventions. Because these records contain Intellectual Property or other proprietary information, they should be considered confidential.

Retention Time Period

**Original:** EVT +6 years. Event: Completion of research activity.

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy Confidential

PII: Yes

PII Registry Exemption: No

Confidential: Yes (Wis. Stat. § 19.36 (5))

## **UWRSC021 Technology Transfer Records—Inventions and Patents**

Key documentation related to inventions of and patents issued to UW researchers. Records in this series include original patents and applications, legal transactions, invention disclosure forms, invention assignment forms, licensing agreements, equity review reports, and any other documentation necessary to prove ownership of a patent or invention. The retention for this series is based on 35 USC § 154, which sets the term of a patent at 20 years from date of filing.

Retention Time Period

**Original:** CR +20 years

**Copies:** Destroy when no longer needed.

Disposition: Transfer to UW Archives

PII: Yes

PII Registry Exemption: No

Confidential: No

## **University Safety and Assurances Records**

### **UWRSC022 Hazardous Materials Records**

Records related to the use or possession of hazardous materials or animals, including information on the nature of the material, safety controls being implemented, spill cleanup protocols (if applicable), and records of lab personnel training. The series may also contain registration forms for biological or chemical agents or toxins. These records' minimum retention period is specified in a number of federal regulations, including 42 CFR § 73.17, 40 CFR § 260, and 29 CFR §1904.33, and is based on the maximum retention stipulated in schedule RISK0085.

Retention Time Period

**Original:** EVT +7. Event: Completion of research activity.

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy

PII: No

PII Registry Exemption: No

Confidential: No



### UWRSC023 Safety Data Sheets

Forms identifying describing the potential harm particular substances in use by researchers, including where and when the chemical or substance was used. Per 29 CFR § 1910.1020, individual sheets do not necessarily need to be retained for the full retention period specified so long as record of the chemical identity and where/when the chemical was used is retained over that period.

Retention Time Period

**Original:** EVT +30 years. Event: Superseded

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy

PII: No

PII Registry Exemption: No

Confidential: No

### UWRSC024 Radionuclide Possession and Use Records

Forms and records completed by researchers to use radionuclide materials in their research, including research on animals. Information in the records includes nature of use, nature of the materials, staff training protocols, precautions to be taken to minimize radiation, and plans for disposal of waste products. The series may also include a Protocol Summary sheet to allow the researcher to describe their proposal in more detail. Retention requirements for this series are specified by DHS § 157.31.

Retention Time Period

**Original:** EVT +30 years. Event: Completion of research activity.

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy

PII: No

PII Registry Exemption: No

Confidential: No

### UWRSC025 Personal Dosimeter Application

Applications for use of a Dosimeter in conjunction with work with radioactive materials. The forms include information about the type of material, the level of exposure, and any previous exposure or dosimeter use at previous institutions or laboratories. These records should be kept permanently per DHS §157.31 as they may contain information related to doses received at other institutions.

Retention Time Period

**Original:** Permanent

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Permanent

PII: Yes

PII Registry Exemption: No

Confidential: No

### UWRSC026 Dosimetry Reports

Reports received by the Radiation Safety Officer used to provide legal documentation of an individual's exposure to radiation. The series also includes overexposure reports and individual exposure histories as provided to workers on request. DHS § 157.31 recommends retaining these records for an extended period due to the transferrable nature of the records; the retention period is based on the retention in RISK0092 (Radioactive Materials--Individual Monitoring Records).

Retention Time Period

**Original:** Permanent

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Permanent

PII: Yes

PII Registry Exemption: No

Confidential: Yes (FERPA, 42 USC § 12112)

### UWRSC027 Authorized User Inventories

Records of the use, decay, and disposal of radioactive materials in individual labs, including information about total activity of radioactive material and any supply, disposal, or transfer documentation. These records should be considered as supporting documents and be maintained for 7 years per DHS § 157.31.

Retention Time Period

**Original:** EVT +7 years. Event: Superseded or end of user access

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy

PII: No

PII Registry Exemption: No

Confidential: No

## UWRSC028 Radiation Safety Program Inventories

Records kept by campus Radiation Safety Programs of their campus' total inventory of radioactive materials, including information on materials held by each Authorized User and those materials held as waste. This series may include copies of receipt and disposal forms provided by individual labs and any other forms used to track use and possession of radioactive materials, as well as any material produced during audits or inspection of labs. 10 CFR § 20.2102 recommends keeping these records for regulatory review for no fewer than 3 years; Retention for this series is based on RISK0094 (Radioactive Materials Receipt and Disposition Records) and DHS § 157.06.

Although this series is not confidential by statute, a potential security issue may exist with the release of this information. Seek authorization from agency legal counsel before releasing any information.

### Retention Time Period

**Original:** Receipts: EVT + 7 years and destroy. Event: termination of institution license  
**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy Confidential

PII: No

PII Registry Exemption: No

Confidential: No

## UWRSC029 Contamination Surveys

Routine surveys of labs for radioactive or other materials, including information on the location and date of survey, diagrams of the area surveyed, source and background readings information, monthly survey log sheets, and plans for remediation if necessary. 10 CFR § 20.2106 recommends keeping these records for regulatory review for no fewer than 3 years; retention for this series is based on RISK0090 (Radioactive Materials/Radiation Supporting Documents).

### Retention Time Period

**Original:** CR +7 years and destroy

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy

PII: No

PII Registry Exemption: No

Confidential: No

### **UWRSC030 Incident Reports**

Reports of minor or major incidents involving radioactive material, including a complete history of the incident and description of any corrective measures taken. 10 CFR 20.2102 recommends keeping these records for regulatory review for no fewer than 3 years; Retention is based on RISK0090 (Radioactive Materials/Radiation Supporting Documents, If report is related to a spill record, these records may need to be maintained as part of decommissioning documentation, per DHS § 157.15(7) and under RDA RISK0093.

Retention Time Period

**Original:** CR +12 years

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy

PII: No

PII Registry Exemption: No

Confidential: No

### **Researcher and Clinical Records**

#### **UWRSC031 Research Clinic Client Files-- Adult**

Records maintained by therapeutic or research clinics of non-student clients or patients. These clinics are often affiliated with academic departments in health sciences or public health schools, and in many cases treatment is undertaken by undergraduate or graduate students under the supervision of faculty, health center staff, or other therapeutic professionals. Records in this series may include, but are not limited to: patient personal health information; official evaluations and therapy reports; therapy plans; test forms, findings, and correspondence; release forms; and notices related to payment and billing.

Retention Time Period

**Original:** EVT +10 years. Event: Last contact with client

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy confidential

PII: Yes

PII Registry Exemption: No

Confidential: Yes (HIPAA and/or FERPA-protected records)

### **UWRSC031A Research Clinic Client Files—Children**

Records maintained by therapeutic or research clinics of non-student clients or patients, pertaining to clients 19 years of age or younger. These clinics are often affiliated with academic departments in health sciences or public health schools, and in many cases treatment is undertaken by undergraduate or graduate students under the supervision of faculty, health center staff, or other therapeutic professionals. For Client Files pertaining to minors, DHS § 92.12 mandates retention of records until the client becomes 19 years of age or the retention period is met, whichever is longer.

Retention Time Period

**Original:** EVT and destroy. Event: 19<sup>th</sup> birthday of client

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy confidential

PII: Yes

PII Registry Exemption: No

Confidential: Yes (HIPAA and/or FERPA-protected records)

### **UWRSC032 Clinical Studies, Trials and Participant Study Records**

This record series consists of research study case files of participants in the clinical studies or drug trials. Each research study generally contains the following, but is not limited to: Protocol, IRB approvals, patient case report or clinical charts, personal evaluation Intake forms, study correspondence, participant informed consents, surveys and participant data which may include medical histories, visit progress notes, attendance sheets, assessments, lab results or adverse effects, outcomes, names of physicians, referrals, lab notebooks and other research records.

Retention Time Period

**Original:** EVT +10 years. Event: Last contact with client

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy confidential

PII: Yes

PII Registry Exemption: No

Confidential: Yes (Wis. Stat. §§ 146.81– 146.83)

### **UWRSC033 Laboratory Reports**

Records document the results of laboratory testing performed for clients. The reports may include but are not limited to case numbers; client names; details of tests and procedures performed; test results; evaluations; and related data. In most cases, these records are subject to the HIPAA Privacy Rule and should thus be considered confidential.

Retention Time Period

**Original:** EVT +6 years. Event: Completion of research activities.

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy confidential

PII: Yes

PII Registry Exemption: No

Confidential: Yes (Wis. Stat. § 19.36 (5) and/or HIPAA)

### **UWRSC034 Campus Survey Studies**

Studies usually produced by campus or system Institutional Research offices on behalf of various departments and units either one-time studies or annual or semi-annual recurring studies such as senior exit surveys or yearly enrollment reports. Records concerning a study include correspondence, survey instruments, the set of survey questions, the compiled survey data, and the report(s) that present the findings of the survey.

Retention Time Period

**Original:** EVT +10 years. Event: Publication of Final Report

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Transfer to Archives

PII: No

PII Registry Exemption: No

Confidential: Yes (FERPA)

### **UWRSC034A Survey Raw Responses**

Raw responses to surveys conducted by campus or system Institutional Research offices on behalf of various departments and units and compiled into reports for analysis. Once information is compiled, the completed response forms have little ongoing administrative value and should be destroyed following an appropriate period of time to verify data entry issues.

Retention Time Period

**Original:** EVT +6 months. Event: Compilation of responses into summary report/spreadsheet

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Destroy confidential

PII: Yes

PII Registry Exemption: Yes (<1 year retention)

Confidential: Yes (FERPA)

## UWRSC035 Research Project Administrative Records

Records document the research activity associated with grant-funded projects. This series may include but is not limited to research data; working papers; research/activity reports; summary reports; and related documentation and correspondence. Per OMB Circular A-81, data and other records from federally-funded projects should be retained and made available for at least 3 years after the completion of the project. Retention is in accordance with RDA ADM0013.

*Note: Depending on the project and nature of the data, it may be preferable to store and make research data available in a dedicated repository. Consult your institution's archivist or campus data services staff for more information.*

### Retention Time Period

**Original:** EVT +4 years. Event: Publication of Final Report

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Transfer to Archives

PII: Yes

PII Registry Exemption: No

Confidential: No

## UWRSC035A Grant Final Reports

Final reports submitted to granting agencies and institutions as the final product of the grant project. Depending on the agency, these reports may contain a breakdown of funds spent, narrative description of the product and results, analysis, work product developed during the grant, or other information intended to explain how grant money was spent. Because these reports often reflect major activities undertaken by university centers or faculty, the Primary Investigator should retain a copy of the final report for the archives.

### Retention Time Period

**Original:** EVT +4 years. Event: Date of submission of final report

**Copies:** Destroy when no longer needed. Do not retain longer than originals.

Disposition: Transfer to Archives

PII: Yes

PII Registry Exemption: No

Confidential: No