Research Animal Resources Center
(RARC)
ANIMAL HEALTH RECORDS RETENTION POLICY

Approved by the Campus Records Review Group: 12/21/2012
Approved by PUB 3/1/2013
University Records Officer: Margaret E. Ewert
Date: 1/3/2013

University Legal Counsel:
Date: 1/3/2013

University Archivist: Dave Sullivan
Date: 1/2/13

State Archivist: Steve Bier
Date: FEB 27 2013

Executive Secretary: John C. Mark by KAE
Date: 3/1/13

APPROVAL SUBJECT TO 10-YEAR SUNSET. RESUBMITTAL REQUIRED PRIOR TO February 2023.
I. INTRODUCTION AND PURPOSE

The RESEARCH ANIMAL RESOURCES CENTER (RARC) ANIMAL HEALTH RECORD RETENTION POLICY covers the retention and disposition schedule which are comprised of records resulting from processes commonly associated with research animals.

This retention schedule represents the official University of Wisconsin-Madison policy with regard to the retention and disposition of records and information and has the approval of the Campus Records Review Group (CRRG) 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.

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 insure 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

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.

The Wisconsin Open Records Law, s. 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 may extend this time period. The agency's legal custodian of records can provide advice. For the University of Wisconsin Madison the legal custodian is the Chancellor's Office.

4. It is the responsibility of the office holding the record to determine if an audit, litigation, or an open record request is pending, before disposing of the records.

IV. 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.


Under Wisconsin law, many materials comprise public records performing the transaction of public business on behalf of the University Campus. Under WI SS 16.31, defines Public records" means 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. WI SS16.31 "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; 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. Thus, unlike
paper records, with the passage of time electronic records lose information as it randomly slips away in bite-sized chunks, unless software updates are consistently purchased, installed, and maintained.

Because of this aspect of information technology systems, records storage within an information system must comply with the legal requirements set forth in Regent Policy Document 3-2: University of Wisconsin System Public Records Management; and Chapter Administrative 12: Electronic Records Management-Standards and Requirements.

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 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 both University (CRRG) and State Public Records Board.
Research Animal Care
The Research Animal Resources Center (RARC) oversees the UW-Madison research-animal medical care program. That oversight encompasses five separate college research-animal programs: the School of Medicine and Public Health (SMPH), the School of Veterinary Medicine (SVM), Letters and Science (L & S), the Graduate School, and the College of Agriculture and Life Science (CALS). Veterinary care for all the colleges is provided by RARC, while daily operations of the facilities and husbandry are overseen by specific research-animal programs associated with each college. The research program is biomedical or agricultural, and many projects are collaborative, including collaborations with the Veterans Administration Hospital.

This Animal Health Record Retention Policy does not apply to research data or other records maintained by investigators or laboratory staff.

This Animal Health Record Retention Policy excludes the Wisconsin National Primate Research Center (WNPRC) and the Harlow Center for Biological Psychology.

This Schedule covers:
- University Animal Health Records
- University Animal Husbandry Records and Logs

GRS01714 UNIVERSITY ANIMAL HEALTH RECORDS
This series documents the animal's medical history; records include reference for treatments, medical evaluations, transfer recommendations, and animal management decision making. Content may include: medical reports; diagnostic tests results; diagnostic images; daily medical log entries; anesthesia records; prescriptions; clinical pathology data (blood work and culture results); pathology records and histopathology results; culture reports; and parasitological records and also include preventive medicine program events such as vaccinations, testing, quarantine, and examination procedures. This series is maintained by RARC.
Animal Health records may consist of but are not limited to the following documentation depending on the animal:
- Name or initials of the veterinary staff member responsible for entries.
- Name or identity of the animal, herd, flock or colony.
- Except for herds or flocks or colonies, age, sex and species of the animal.
- Dates (beginning and ending) of custody of the animal, if applicable.
- A history or pertinent information as it pertains to each animal, herd, flock's or colony's medical status.
• Objective and subjective findings from physical examination.
• Treatment and intended treatment plan, including medications, dosages and frequency of use.
• Records for surgical procedures shall include a description of the procedure, the name/initials of the surgeon, the type of pre-anesthetic, anesthetic and analgesic agents used their route of administration, and dosage.
• Diagnosis or tentative diagnosis as needed.
• If relevant, a prognosis of the animal's condition.
• All medications and treatments prescribed, dispensed and/or administered, including concentration, dosage, quantity, and frequency.
• Progress and disposition of the case.

RETENTION: EVT + 3 Years. EVENT = Date of Last Entry
DISPOSITION: Destroy Confidential
PII: No
CONFIDENTIAL: Yes

Access Requirements: Portions of these records may be subject to public disclosure upon approval of RARC and UW Legal Services. Contact the Associate Director of RARC for permission to access. Trade secrets may be kept confidential under section 19.36(5), Wis. Stats.; other intellectual property may be kept confidential under the balancing test; personal identifying information of students and staff may be kept confidential under FERPA (where applicable) and the balancing test; and certain information pertaining to research activities, such as 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.

Appraisal Note:
Records are kept in compliance with Veterinary Best Practices for recordkeeping based on the Wisconsin Administrative Code Ch VE 7.03, and RARC Requirement for Medical Records.

New Record Series

GRS01715 UNIVERSITY ANIMAL HUSBANDRY RECORDS
This record series is maintained or overseen by individual college research animal care programs (such as, for example, Laboratory Animal Resources in the School of Medicine & Public Health, the Animal Resource Center in the School of Veterinary Medicine, the Letters & Science Animal Program in the College of Letters & Science, and similar units elsewhere at the University), and provides information for day-to-day animal care and husbandry. Animal Husbandry records consist of but are not limited to the following documentation depending on the animal:
• Room logs
• Enrichment Logs
• Housing and Environment
• Nutrition and Feeding
• Other Non-specific animal related records

RETENTION: EVT + 3 Years. EVENT= Date of Last Entry
DISPOSITION: Destroy Confidential
PII: No
CONFIDENTIAL: Yes

Access Requirements: Portions of these records may be subject to public disclosure upon approval of RARC and UW Legal Services. Contact the Associate Director of RARC for permission to access. Trade secrets may be kept confidential under section 19.36(5), Wis. Stats.; other intellectual property may be kept confidential under the balancing test; personal identifying information of students and staff may be kept confidential under FERPA (where applicable) and the balancing test; and certain information pertaining to research activities, such as 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.

Appraisal Note: Records are kept in compliance with Veterinary Best Practices for recordkeeping based on the Wisconsin Administrative Code Ch VE 7.03, and RARC Requirement for Medical Records.

New Record Series