UNIVERSITY OF WISCONSIN - MADISON

RESEARCH ANIMAL RESOURCE CENTER
(RARC)

ANIMAL CARE AND USE COMMITTEE (ACUC)
RECORDS RETENTION AND DISPOSITION SCHEDULE

2013

Approved by the Campus Records Review Group on
Approved by PRB on 8/27/2013
APPROVAL SUBJECT TO 10-YEAR SUNSET. RESUBMITTAL REQUIRED PRIOR TO __________
UNIVERSITY OF WISCONSIN - MADISON: GENERAL RECORDS AND DISPOSITION SCHEDULES FOR RESEARCH ANIMAL RESOURCE CENTER (RARC) ANIMAL CARE AND USE COMMITTEE (ACUC)

I. INTRODUCTION AND PURPOSE

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 ensure 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 or litigation 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 WIS 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. WIS 16.31 "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.

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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.

UNIVERSITY OF WISCONSIN- MADISON
RESEARCH ANIMAL RESOURCE CENTER - ANIMAL CARE AND USE COMMITTEE DISPOSITION GENERAL RECORDS SCHEDULE

The Research Animal Resource Center (RARC) is an administrative unit of the Graduate School. RARC has four primary functions:
1. Provide veterinary and laboratory services in support of quality animal care.
2. Provide the support and training necessary to provide the highest quality care possible for the University’s research animals.
3. Provide oversight and assistance in assuring compliance to all laws, regulations, and rules governing the care and use of laboratory animals.
4. Conduct direct or collaborative research and/or consultation on animal models for biomedical research.

As specified in University of Wisconsin-Madison All-Campus Animal Care and Use Committee policy 2006-30 access to protocols and other compliance documents at the Research Animal Resource Center ("RARC") is given by RARC to University officials and employees with responsibilities pertaining to research activities, as well as representatives of state and federal regulatory and granting agencies and accreditation bodies.

ACCESS REQUIREMENTS: Access is limited. Contact the head of RARC for access as documents maintained by RARC which may contain trade secret information subject to non-disclosure obligations, certain employee personnel records, information protected by the attorney-client privilege, as well as confidential information relating to research materials, facilities and personnel. Trade secrets may be kept confidential under
Wis. Stats. § 19.36(5) and certain intellectual property records may be kept confidential under the balancing test. Certain information regarding staff may be kept confidential under Wis. Stats. § 19.36(10), and the balancing test. Records directly related to students may be kept confidential under Wis. Stats. § 19.36(1), where disclosure of information is prohibited by the Family Educational Rights and Privacy Act, 20 USC 1232g and 34 CFR Part 99, and under the balancing test. Certain information pertaining to research activities, such as the security measures for specific research facilities and the location of hazardous materials or controlled substances, is exempt from disclosure per Wis. Stats. § 19.36(1), where disclosure is prohibited by federal law, such as the Public Health Security and Bioterrorism Preparedness and Response Act, 42 USC 262a, and the balancing test. Information impacting the security of personnel, animals, and facilities, such as locations where animals are housed or research is conducted may be kept confidential under the balancing test. Minutes of Animal Care and Use Committee meetings may contain attorney-client privileged information. These records must be reviewed by RARC, and confidential information redacted, prior to public release.

The 9CFRs 2.35 Recordkeeping requirements (f) state the following: "all records and reports shall be maintained for at least three years. Records that relate directly to proposed activities and proposed significant changes in ongoing activities reviewed and approved by the IACUC shall be retained for the duration of the activity and for an additional three years after completion of the activity."

University Faculty Policy II-314 on Misconduct in Scientific Research mandates a minimum of 7 years for research records.

This Schedule covers the following record series for the Animal Care and Use Committee (ACUC).

- ACUC Minutes
- ACUC Approved Protocols
- ACUC Unapproved Protocols
- ACUC Program Reviews
- ACUC Semi-Annual Inspection Report
<table>
<thead>
<tr>
<th>Record Series ID Number</th>
<th>Record Series Title</th>
<th>Record Series Description</th>
<th>Record Series Retention (Office of Record)</th>
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| 34001745                | ACUC Minutes (Animal Care and Use Committee) | This record series consists of minutes, attachments, agendas, and meeting announcements. The Animal Care and Use Committees (ACUCs) review and approve protocols, and ensure that regulations for animal research are appropriately followed. Committee minutes document the meetings held by the ACUC committees. The requirement for, and functions of, the ACUC are defined in 7 USC §2143-21 §6, 9 CFR, the Health Research Extension Act of 1985 (PL99-158), as amended, and Public Health Service policy on the Humane Care and Use of Laboratory Animals. | EVT + 7 YEARS EVENT= Date of Approval of the Minutes 9CFR 2.35 42 CFR 93.317 Research Misconduct University Faculty Policy II-314 on Misconduct in Scientific Research required 7 years. | Destroy when no longer needed, but not longer than originals. | Destroy Confidential | Confidential 
See: Access Requirements for this Record Series on page 5. ACUC minutes may also contain confidential attorney-client privileged communications. |
| 34001746                | ACUC Approved Protocols | This record series consists of, but is not limited to the following:  • the cover letter or email from principal investigator;  • animal use application;  • Animal Care and Use Committee (ACUC) review comments;  • Approved version of protocol; and approval letters. If applicable, the Approved Protocols include: annual updates; 3-year renewal reminder; 3-year renewal protocol; amendments; Animal Care | EVT + 7 YEARS EVENT= Date of ACUC Approval ACUC are defined in 7 USC St. 2143-21 §6, 9 CFR, the Health Research Extension Act of 1985 (PL99-158), as amended, and Public Health Service policy on the Humane Care and Use of Laboratory Animals. University Faculty Policy II-314 on Misconduct in Scientific Research required 7 years. | Destroy when no longer needed, but not longer than originals | Destroy Confidential | Confidential 
See: Access Requirements for Confidential records on page 5. |
and Use Committee review comments on amendments; and documentation of designated review of minor changes.

Protocol applications are submitted to the Research Animal Resources Center (RARC) and distributed to the appropriate ACUC for review. RARC enters into a tracking database key information about the protocol, such as name of the Principal Investigator (PI), address, title, number of animals and their species, type of procedure(s) involved indicated by the Classification code.

The requirement for, and functions of, the ACUC are defined in 7 USC §2143-21 56, 9 CFR, the Health Research Extension Act of 1985 (PL99-158), as amended, and Public Health Service policy on the Humane Care and Use of Laboratory Animals.
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<td>34001747</td>
<td>ACUC Unapproved Protocols</td>
<td>This record series includes protocols that the ACUC finds unacceptable and does not grant approval to, and proposed protocols that remain pending for extended or indefinite periods because the principal investigators do not provide satisfactory answers to the ACUC's review questions. Without approval animal research activities may not commence. The Unapproved Protocols contain the original submission protocol draft; cover letter or email from principal investigator; and Animal Care and Use Committee (ACUC) review comments. Protocol applications are submitted to the Research Animal Resources Center (RARC) and distributed to the appropriate ACUC for review.</td>
<td>EVT + 3 YEARS EVENT = Date of ACUC Denial</td>
<td>Destroy when no longer needed, but not longer than originals</td>
<td>Destroy</td>
<td>Confidential&lt;br&gt;See: Access Requirements for Confidential records on page 5.</td>
</tr>
</tbody>
</table>
| 34001748               | ACUC Program Reviews         | Program Reviews records include but is not limited to:  
• the Animal Care and Use Committee (ACUC) letter to the Institutional Official;  
• Semiannual Program Review worksheet  
• Signed signature page                                                                                              | EVT + 7 YEARS EVENT = ACUC Signature  
9CFR 2.35  
42 CFR 93.317 Research Misconduct                                                                                     | Destroy when no longer needed, but not longer than originals | Transfer to UW-Archives for review | See: Access Requirements for this Record Series on page 5. |
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<td>34001749</td>
<td>ACUC Semi-Annual Inspection Report</td>
<td>This record series includes, but is not limited to: Typed copy of inspection notes; and correspondence between the Animal Care and Use Committee and principals investigators and for facility supervisory staff regarding noted deficiencies and corrections. Written inspection reports are prepared for each animal facility every six months, reviewed by the appropriate ACUC, and submitted to the Institutional Official. The requirement for this function of the ACUC is defined in 9 CFR §2.31 (c)(1)-(3), and Public Health Service Policy IV.B and F.</td>
<td>University Faculty Policy II-314 on Misconduct in Scientific Research required 7 years.</td>
<td>EVT + 7 YEARS EVENT: Date of each inspection or date of final resolution of deficiency, whichever is later. 9CFR 2.35 42 CFR 93.317 Research Misconduct</td>
<td>Destroy when no longer needed, but not longer than originals</td>
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