UNIVERSITY OF WISCONSIN - MADISON

RESEARCH POLICY AND COMPLIANCE
RECORDS RETENTION AND DISPOSITION SCHEDULE

2013

Approved by PRB on 5/24/2013
Dan Uhlrich
Dean/Dept. Chair/Admin. Officer—PLEASE PRINT

Margaret Ewen
University Records Officer

G. Thompson
State Archivist

EXECUTIVE SECRETARY - PRB

APPROVAL SUBJECT TO 10-YEAR SUNSET. RESUBMITAL REQUIRED PRIOR TO MAY 2023

2/25/2013
Date

3/11/2013
Date

3/17/2013
Date

5/29/2013
Date

5/24/2013
Date

University of Wisconsin-Madison Retention and Disposition Schedule for Research Policy and Compliance 2013
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 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 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 '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 SS 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 exhibited 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.
UNIVERSITY OF WISCONSIN-MADISON
OFFICE OF RESEARCH POLICY RECORDS AND DISPOSITION GENERAL RECORDS SCHEDULE

The Office of Research Policy is led by UW-Madison’s Associate Dean for Research Policy.

The Office of Research Policy coordinates and facilitates research policy, compliance, and integrity activities for all UW-Madison researchers. Major activities include staff support, project development and record maintenance as well as software support and webpage development and maintenance for the following committees and activities:

- Financial Conflict of Interest Program – includes the Conflict of Interest Committee
- Human Research Protection Program, including the campus Institutional Review Boards (IRBs) – includes the Human Research Protection Program Advisory Committee (HRPP AC), which makes campus policy regulating human subjects research.
- Research Misconduct
- Research Policy Advisory Council (RPAC) – serves as the central body for the coordination of campus wide research policy development and implementation.
- Responsible Conduct of Research
- Human Pluripotent Stem Cell Research – includes the Stem Cell Research Oversight Committee (SCRO)
- Outside Activities Reporting

This Schedule covers the following record series.

- CONFLICT OF INTEREST (COI) COMMITTEE RECORDS
- CONFLICT OF INTEREST (COI) INVESTIGATOR FILES
- HUMAN SUBJECT RESEARCH – INVESTIGATOR NON-COMPLIANCE FILES
- HUMAN SUBJECT RESEARCH – PROTECTION PROGRAM FILES (HRPP) INCLUDING ASSURANCE AGREEMENTS AND IRB REGISTRATION
- HUMAN SUBJECT RESEARCH – PROTECTION PROGRAM POLICIES AND PROCEDURES
- HUMAN SUBJECT RESEARCH – PROTECTION PROGRAM COMMITTEE MINUTES AND AGENDA’S
- HUMAN SUBJECT RESEARCH – APPLICATIONS FOR CERTIFICATE OF CONFIDENTIALITY (CoC)
- IRB AUTHORIZATIONS AGREEMENTS
- INDIVIDUAL INVESTIGATOR AGREEMENTS
- EXTERNAL AND INTERNAL AUDITS, COMPLIANCE MONITORING AND QUALITY ASSURANCE ACTIVITIES
- RESEARCH MISCONDUCT PROCEEDINGS CASES
- STEM CELL RESEARCH OVERSIGHT COMMITTEE POLICY RECORDS
- STEM CELL RESEARCH OVERSIGHT PROTOCOL RECORDS
- INTEGRATING RESEARCH ETHICS AND SCHOLARSHIP (RES) COMMITTEE RECORDS
- RESEARCHER ONLINE COMPLIANCE AND CERTIFICATION TRAINING RECORDS

University of Wisconsin-Madison Retention and Disposition Schedule for Research Policy and Compliance 2013
### RESEARCH POLICY AND COMPLIANCE

<table>
<thead>
<tr>
<th>Record Series ID Number</th>
<th>Title</th>
<th>Description</th>
<th>Retention (Office of Record)</th>
<th>COPIES</th>
<th>Disposition</th>
<th>Confidential or PII</th>
</tr>
</thead>
<tbody>
<tr>
<td>34001721</td>
<td>CONFLICT OF INTEREST (COI) COMMITTEE RECORDS</td>
<td>This record series consists of the working files for the Conflict of Interest Committee, a standing committee of the UW Madison faculty. The COI Committee reviews reports of outside activities and financial interests to comply with federal, state, and University regulations and policies. This faculty committee also works with faculty and staff to eliminate, minimize, or manage any actual or potential conflicts of interest identified by the reporting process. This records series contains agendas, minutes, correspondence, rosters, meeting materials, documents relating to policy development, and other items used to support the work of the Committee. Grad School research and compliance staff and the members of the Conflict of Interest Committee (COIC) conduct an evaluation process and make recommendations to the COIC.</td>
<td>EVT + 3 Years&lt;br&gt;EVT= Date of Submission of Final Expenditures or Termination of the Grant, whichever is longer.&lt;br&gt;See 8.11 of the Faculty Policies and Procedures&lt;br&gt;§CFR 42 50.604 (3)&lt;br&gt;(l) Responsibilities of Institutions regarding Investigator financial conflicts of interest.&lt;br&gt;(i) Maintain records relating to all Investigator disclosures of financial interests and the Institution’s review of, and response to, such disclosures (whether or not a disclosure resulted in the Institution’s determination of a financial conflict of interest) and all actions under the Institution’s policy or retrospective review, if applicable, for at least three years from the date the final expenditures report is submitted to the PHS or, where applicable, from other dates specified in 45 CFR 74.53(b) and 92.42 (b) for different situations.</td>
<td>Destroy when no longer needed, but not longer than originals.</td>
<td>Transfer to UW-Archives for Review</td>
<td>May contain PII</td>
</tr>
</tbody>
</table>

Note: Other related GRS UWADM027 Outside Activity Reports UWADM028 Statements of Economic Interest.
## RESEARCH POLICY AND COMPLIANCE

<table>
<thead>
<tr>
<th>Record Series ID Number</th>
<th>Title</th>
<th>Description</th>
<th>Retention (Office of Record)</th>
<th>COPIES</th>
<th>Disposition</th>
<th>Confidential or PII</th>
</tr>
</thead>
<tbody>
<tr>
<td>34001722</td>
<td>CONFLICT OF INTEREST (COI) INVESTIGATOR FILES</td>
<td>This record series includes, for each PI, a digest version of the PI's OAR, copies of email messages, correspondence, minutes of COIC meetings relating to the particular PI, evaluation worksheets for particular PI, management plans and confirmation sheets, if necessary, list of funding sources and list of human subjects protocols</td>
<td>EVT +3 Years EVENT: Date of Closure of File §CFR 42.50.604 (3) NSF Grant Policy Manual Chapter V Section 510*</td>
<td>Destroy when no longer needed, but not longer than originals.</td>
<td>Destroy Confidential</td>
<td>May contain PII</td>
</tr>
<tr>
<td>34001723</td>
<td>HUMAN SUBJECT RESEARCH – INVESTIGATOR NON-COMPLIANCE FILES</td>
<td>Files relating to investigations of a researcher's noncompliance with an IRB approved protocol or unanticipated problems during the research. Documentation in this series includes but is not limited to: the protocol that initiated the case, minutes from IRB meetings discussing noncompliance or unanticipated problem, correspondence with investigator and with the UW-Madison Institutional Official, who is the Associate Vice Chancellor for Research Policy, the determination of the IRB as to whether the noncompliance was serious or continuing or that an unanticipated problem occurred and what the remedies should be, whether there has been a suspension or termination of the research and whether the noncompliance or unanticipated problem should be reported</td>
<td>EVT + 7 Years EVENT: Date final correspondence from OHRP or FDA. 42 CFR 93.317 Research Misconduct University Faculty Policy II-314 on Misconduct in Scientific Research</td>
<td>Destroy when no longer needed, but not longer than originals.</td>
<td>Destroy Confidential</td>
<td>Confidential Closed- Protection of Human Subjects - Human Subjects Protocols CFR 45 PART 46. May contain confidential information in that it may contain protocol-specific information which we have agreed via contract with sponsor to keep confidential except to the extent we must disclose by law, and then sponsor gets notice and an</td>
</tr>
<tr>
<td>Record Series ID Number</td>
<td>Title</td>
<td>Description</td>
<td>Retention (Office of Record)</td>
<td>COPIES</td>
<td>Disposition</td>
<td>Confidential or PII</td>
</tr>
<tr>
<td>-------------------------</td>
<td>-------</td>
<td>-------------</td>
<td>------------------------------</td>
<td>--------</td>
<td>-------------</td>
<td>-------------------</td>
</tr>
<tr>
<td>34001724</td>
<td>HUMAN SUBJECT RESEARCH – PROTECTION PROGRAM FILES (HRPP) INCLUDING ASSURANCE AGREEMENTS AND IRB REGISTRATION</td>
<td>to a federal agency or department. If the non-compliance or unanticipated problem is reportable or necessitates action in some way, the file includes a letter from the Institutional Official to the appropriate federal official and to the investigator. Emails and hard copies of letters to and from federal agencies. This starts in IRB office but Assoc. VC for research policy must sign any correspondence with federal agencies + HRPP Advisory committee hears appeals from findings of noncompliance</td>
<td>EVT + 7 Years EVENT= Date FWA or IRB registration is superseded.</td>
<td>Destroy when no longer needed, but not longer than originals</td>
<td>Destroy</td>
<td>May Contain PII</td>
</tr>
</tbody>
</table>

21 C.F.R. 56.115 IRB Records requires Completion of Research + 3 years. Retention exceeds requirements per University Human Research Protection Program: Policy 3-1-2012
<table>
<thead>
<tr>
<th>Record Series ID Number</th>
<th>Title</th>
<th>Description</th>
<th>Retention (Office of Record)</th>
<th>COPIES</th>
<th>Disposition</th>
<th>Confidential or PII</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>with the U.S. Department of Health and Human Services, correspondence with federal agencies, and notes. This process is electronic only, no longer in paper.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>34001725</td>
<td>HUMAN SUBJECT RESEARCH – PROTECTION PROGRAM POLICIES AND PROCEDURES</td>
<td>An important segment of this series is a set of 200 plus UW-Madison policies relating to human subject research. These policies are developed and revised in response to specific issues relating to human subject research. The Human Research Protection Program is responsible for the policies. These policies are stored and managed in an internally developed web-based document storage and management system from which the documents are posted to the HRPP websites. The web-based system includes version control and restricted access features.</td>
<td>EVT + 7 Years EVENT = Date Policy or Procedure is Update.</td>
<td>Destroy when no longer needed, but not longer than originals</td>
<td>Transfer to UW-Archives for Review</td>
<td>No</td>
</tr>
</tbody>
</table>
### RESEARCH POLICY AND COMPLIANCE

<table>
<thead>
<tr>
<th>Record Series ID Number</th>
<th>Title</th>
<th>Description</th>
<th>Retention (Office of Record)</th>
<th>COPIES</th>
<th>Disposition</th>
<th>Confidential or PII</th>
</tr>
</thead>
<tbody>
<tr>
<td>34001726</td>
<td>HUMAN SUBJECT RESEARCH—PROTECTION PROGRAM COMMITTEE MINUTES AND AGENDA'S</td>
<td>Minutes and Agendas for HRRP Committee Meetings</td>
<td>EVT + 7 YEARS</td>
<td>Destroy when no longer needed, but not longer than originals</td>
<td>Transfer to UW Archives for review</td>
<td>May contain PII Minutes may include confidential information, including protocol-specific information that we have agreed by contract with sponsor to keep confidential. May also include preliminary analysis of data and other communications between PI and IRB that we would subject to balancing test analysis</td>
</tr>
<tr>
<td>34001727</td>
<td>HUMAN SUBJECT RESEARCH—APPLICATIONS FOR CERTIFICATE OF CONFIDENTIALITY (CoC)</td>
<td>This record series includes copies of applications for certificate of confidentiality submitted by investigators to National Institutes of Health (NIH). If approved, NIH issues a certificate of confidentiality to the investigator. Certificates of Confidentiality are issued by the National Institutes of Health (NIH) to protect the privacy of research subjects by protecting investigators and institutions from being compelled to release information that could be used to identify subjects with a research project.</td>
<td>EVT + 7 YEARS</td>
<td>Destroy when no longer needed, but not longer than originals</td>
<td>Destroy Confidential</td>
<td>Confidential Closed-Human Subjects Protocols CFR 45 PART 46 46.115 IRB Records May include confidential protocol specific information as</td>
</tr>
<tr>
<td>Record Series ID Number</td>
<td>Title</td>
<td>Description</td>
<td>Retention (Office of Record)</td>
<td>COPIES</td>
<td>Disposition</td>
<td>Confidential or PII</td>
</tr>
<tr>
<td>------------------------</td>
<td>-------</td>
<td>-------------</td>
<td>-------------------------------</td>
<td>--------</td>
<td>-------------</td>
<td>-------------------</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Applications for Certificate of Confidentiality submitted to NIH by investigators. These have to be signed by Assoc. VC for research policy</td>
<td>EVT + 7 YEARS EVENT: Close of the Study or Termination of the Agreement, whichever is earlier.</td>
<td></td>
<td>Destroy when no longer needed, but not longer than originals</td>
<td>described above, and would be subject to balancing test analysis.</td>
</tr>
<tr>
<td>34001728</td>
<td>IRB AUTHROIZATIONS AGREEMENTS</td>
<td>Starts in IRB office but Assoc. VC for research policy must sign. These agreements are prepared if a UW-Madison PI is conducting collaborative research with another institution that does not have an IRB, or may have an IRB but UW-Madison and the other institution wish to avoid a duplicate IRB review. The agreement may provide for UW-Madison to serve as the other institution's IRB of record or for UW-Madison to defer review of a protocol to another institution's IRB. Agreements may cover a single specific protocol or may be a blanket agreement with an institution for all human subjects' research.</td>
<td></td>
<td></td>
<td>Destroy</td>
<td>No</td>
</tr>
</tbody>
</table>

21 C.F.R. 56.115 IRB Records requires Completion of Research + 3 years. Retention exceeds requirements per University Human Research Protection Program: Policy 3-1-2012
<table>
<thead>
<tr>
<th>Record Series ID Number</th>
<th>Title</th>
<th>Description</th>
<th>Retention (Office of Record)</th>
<th>COPIES</th>
<th>Disposition</th>
<th>Confidential or PII</th>
</tr>
</thead>
<tbody>
<tr>
<td>34001729</td>
<td>INDIVIDUAL INVESTIGATOR AGREEMENTS</td>
<td>These files contain signed agreements between UW-Madison and non-UW-Madison researchers who are involved in federally funded human subject research and who are not acting as employees of another institution involved in the research that has its own Federal wide Assurance with OHRP.</td>
<td>EVT + 7 YEARS EVENT= Close of the Study or Termination of the Agreement, whichever is earlier</td>
<td>Destroy when no longer needed, but not longer than originals</td>
<td>Destroy Confidential</td>
<td>May contain PII</td>
</tr>
<tr>
<td>34001730</td>
<td>EXTERNAL AND INTERNAL AUDITS, COMPLIANCE MONITORING AND QUALITY ASSURANCE ACTIVITIES</td>
<td>Records of external or internal audit, compliance monitoring and quality assurance activities relating to UW-Madison research compliance programs or component thereof. Series includes records of internal activities conducted by UW-Madison or external activities conducted by any outside entity that regulates, funds or supports research conducted at UW-Madison, including but not limited to federal agencies, industry sponsors and non-profit organizations. Records include correspondence, audit plans, documents prepared for the audit, audit findings, audit reports and responses to those reports.</td>
<td>EVT + 6 YEARS EVENT= Date Audit is Closed.</td>
<td>Destroy when no longer needed, but not longer than originals</td>
<td>Destroy Confidential</td>
<td>Confidential and PII May include confidential information. This is quality review designed to protect subject safety. We would subject this to a balancing test analysis to ensure that disclosure would not have a chilling effect on further quality</td>
</tr>
<tr>
<td>Record Series ID Number</td>
<td>Title</td>
<td>Description</td>
<td>Retention (Office of Record)</td>
<td>COPIES</td>
<td>Disposition</td>
<td>Consideration for Review</td>
</tr>
<tr>
<td>------------------------</td>
<td>----------------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
<td>--------</td>
<td>-------------</td>
<td>---------------------------</td>
</tr>
</tbody>
</table>
| 34001731               | RESEARCH MISCONDUCT PROCEEDINGS CASES                                 | Records of scientific/research misconduct cases involving UW-Madison personnel. This record series consist of but is not limited to Inquiry records, Hearing and Review records and the Final Report.               | EVT + 7 YEARS  
EVT= Date Audit is Closed.  
42 CFR 93.317 Research Misconduct  
University Faculty Policy II-314 on Misconduct in Scientific Research  
University Faculty Policy II-314 on Misconduct in Scientific Research  
Destroy when no longer needed, but not longer than originals  
Destroy Confidential  
These records contain information which is confidential pursuant to 42 C.F.R. § 93.108 and/or UW-Madison Faculty Legislation II-314 §§ I.A.4. and II.A.1. |
| 34001732               | STEM CELL RESEARCH OVERSIGHT COMMITTEE POLICY RECORDS                 | The SCRO Committee provides oversight for all research on campus or involving campus faculty or staff that involves either:  
• the use of human embryonic stem cells or their derivatives; or  
• the introduction of human pluripotent stem cells, or their  
EVT + 7 Years  
EVENT= Date Policy or Procedure is Updated.  
Destroy when no longer needed, but not longer than originals  
Transfer to UW-Archives for Review  
May contain PII  
Policies and procedures are not confidential and are posted online. Some closed minutes and correspondence may include |
<table>
<thead>
<tr>
<th>Record Series ID Number</th>
<th>Title</th>
<th>Description</th>
<th>Retention (Office of Record)</th>
<th>COPIES</th>
<th>Disposition</th>
<th>Confidential or PII</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>derivatives, obtained from a non-embryonic source, into non-human animals at any embryonic, fetal, or postnatal stage, if an expected effect is that human cells will be integrated into the central nervous system, testes, or ovaries of the animal. This records series includes, but is not limited to the development and maintenance of UW-Madison's human pluripotent stem cell research policies and procedures. Records in this series contain agendas, minutes (confidential and open), correspondence, rosters, meeting materials, documents related to policy development.</td>
<td>EVT + 7 Years EVENT = Date of Last Activity</td>
<td>Destroy when no longer needed, but not longer than originals</td>
<td>Destroy Confidential</td>
<td>confidential information and would require a balancing test analysis.</td>
</tr>
<tr>
<td>34001733</td>
<td>STEM CELL RESEARCH OVERSIGHT PROTOCOL RECORDS</td>
<td>Protocols include initial review application, change of protocol applications, and continuing reviews that must be submitted for approval to conduct hESC research on campus. Records in this series protocol files, and other items used to support the work of the Committee.</td>
<td></td>
<td>Destroy</td>
<td>May contain PII May include confidential information in the form of PI intellectual property, preliminary data analyses, etc.</td>
<td>Would require a</td>
</tr>
<tr>
<td>Record Series ID Number</td>
<td>Title</td>
<td>Description</td>
<td>Retention (Office of Record)</td>
<td>COPIES</td>
<td>Disposition</td>
<td>Confidential or PII</td>
</tr>
<tr>
<td>-------------------------</td>
<td>-------</td>
<td>-------------</td>
<td>------------------------------</td>
<td>--------</td>
<td>-------------</td>
<td>-------------------</td>
</tr>
<tr>
<td>34001734</td>
<td>INTEGRATING RESEARCH ETHICS AND SCHOLARSHIP (IRES) COMMITTEE RECORDS</td>
<td>Integrating Research Ethics and Scholarship (IRES) is an initiative, sponsored by the Graduate School that offers novice and seasoned researchers and scholars' educational opportunities and resources that reflect best practices in ethics education and scholarly integrity. IRES also awards fellowships. This record series contains agendas, minutes, correspondence, rosters, meeting materials, documents related to policy development, and other items used to support the work. This also includes information on the IRES fellows and the training materials they developed.</td>
<td>CR + 7 Years CR= Creation Date</td>
<td>Destroy when no longer needed, but not longer than originals</td>
<td>Transfer to UW-Archives for Review</td>
<td>May contains PII Ethical reviews of researchers protocols may contain confidential information and would require a balancing test analysis.</td>
</tr>
<tr>
<td>Record Series ID Number</td>
<td>Title</td>
<td>Description</td>
<td>Retention (Office of Record)</td>
<td>COPIES</td>
<td>Disposition</td>
<td>Confidential or PII</td>
</tr>
<tr>
<td>-------------------------</td>
<td>-------</td>
<td>-------------</td>
<td>------------------------------</td>
<td>--------</td>
<td>-------------</td>
<td>-------------------</td>
</tr>
<tr>
<td>34001735</td>
<td>RESEARCHER ONLINE COMPLIANCE AND CERTIFICATION TRAINING RECORDS</td>
<td>All Training records that the ORP and the Grad School IT include: Biosafety Training, COI Training, and Effort Report Training.</td>
<td>EVT + 6 YEARS EVT= Date the employee, researcher, or PI terminates employment Human subjects training requirements Sec. VII.B.5 45 CFR Part 46 45 CFR Parts 160 and 164 (Privacy Rule)</td>
<td>Destroy when no longer needed, but not longer than originals</td>
<td>Destroy Confidential</td>
<td>Confidential and PII 45 CFR Parts 160 and 164 (Privacy Rule)</td>
</tr>
</tbody>
</table>