UNIVERSITY OF WISCONSIN - MADISON

RECORDS RETENTION AND DISPOSITION SCHEDULE
FOR
Wisconsin Veterinary Diagnostic Laboratory

2014
We the undersigned have reviewed the above records series and approve the outlined retention and disposition. Approval is contingent on restrictions on records destruction contained in S.19.35 (5), Wisconsin Statutes, (Open Records Law) and that no records are destroyed if litigation or audit involving these records has commenced.

______________________________
Dean/Department Chair/Administrative Officer

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Thomas St C. McKenzi
Dean/Dept. Chair/Admin. Officer-PLEASE PRINT

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University Legal Counsel

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University Records Officer

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University Archivist

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State Archivist

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Executive Secretary, PRB

APPROVAL SUBJECT TO 10-YEAR SUNSET. RESUBMITAL REQUIRED PRIOR TO May 2024

3.13.14
Date

3-17-14
Date

3-17-14
Date

3-17-14
Date

MAY 13 2014
Date

5/30/14
Date
UNIVERSITY OF WISCONSIN - MADISON: GENERAL RECORDS AND DISPOSITION SCHEDULES

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 University Records Management Advisory Group (URMAG) 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 and 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. Stats. § 16.61, Public records are defined as " 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. Under Wis. Stats. § 16.61, the definition of "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; and 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. Because of the potential for electronically-preserved information to be lost over time as electronic systems degrade or become obsolete, electronic systems should be used as the primary manner of preserving historical documents only if measures are implemented to ensure appropriate updates to the electronic storage systems are consistently purchased, installed, and maintained, and to ensure the appropriate migration of the electronically-stored information as electronic systems become obsolete and are replaced by new technologies.
Because of the consequences of failing to appropriately maintain electronic information technology systems, records storage within an electronic information system must comply with the legal requirements set forth in Board of Regents Policy Document 3-2: University of Wisconsin System Public Records Management; and Wisconsin Administrative Rule 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 University 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
WISCONSIN VETERINARY DIAGNOSTIC LABORATORY DISPOSITION GENERAL RECORDS SCHEDULE

This Schedule covers the following record series.

1. WVDL Diagnostic Case Records
2. WVDL Quality Assurance / Document Control Documents
3. WVDL Test Validation Records
4. WVDL Equipment Records
5. WVDL Internal Audit Reports
6. WVDL Management Report

The Wisconsin Veterinary Diagnostic Laboratory, with facilities located in Madison and Barron, is a full service laboratory serving veterinarians from Wisconsin and throughout the United States.

WVDL is accredited by the American Association of Veterinary Laboratory Diagnosticians and is in compliance with the American Association of Veterinary Laboratory Diagnosticians, Inc. Requirements for an Accredited Veterinary Medical Diagnostic Laboratory.

*ACCESS REQUIREMENTS:

Access is limited. Contact the head of WVDL for access. WVDL records may contain trade secret information subject to non-disclosure obligations, confidential client information that may not be released without an animal patient owner’s informed consent consistent with Wis. Stats. § 453.075, certain employee personnel records, information protected by the attorney-client privilege, as well as confidential information relating to research materials, facilities and personnel. Certain records may contain trade secrets may be kept confidential under Wis. Stats. § 19.36(5) and certain intellectual property records may be kept confidential under the public records balancing test. Certain information regarding staff may be kept confidential under Wis. Stats. § 19.36(10), and the public records balancing test. Records provided by or related to submissions by clients may be kept confidential under Wis. Stats. § 453.075 and/or the public records balancing test.

Confidential information related to paratuberculosis testing and submissions related to testing for paratuberculosis may be kept confidential under the public records balancing test, as § Wis. Stat. 95.232 evidences the strong public policy interest in maintaining the confidentiality of such records. Submissions for which testing is ongoing and submissions in litigation status may also be kept confidential under the public records 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.
<table>
<thead>
<tr>
<th>Record Series ID Number</th>
<th>Record Series Title</th>
<th>Record Series Description</th>
<th>Retention</th>
<th>Media Type</th>
<th>Disposition</th>
<th>Office of Record</th>
</tr>
</thead>
<tbody>
<tr>
<td>GRS01773</td>
<td>WVDL Universal Veterinary Information System (UVIS) Finalized Case Records</td>
<td>This record series consists of, but is not limited to submission forms, case worksheets, post room forms, Universal Veterinary Information System (UVIS) records, referral requests or other case specific records.</td>
<td>Retention: EVT + 10 years EVENT = Date of Finalization of the case. Copies: Destroy when no longer need, but not longer than the Originals. Confidential: Yes PII: May contain PII *See Access Requirements pg. 6</td>
<td>Paper and Electronic Database</td>
<td>Destroy Confidential</td>
<td>WVDL</td>
</tr>
</tbody>
</table>
In accordance with the Requirements for an Accredited Veterinary Medical Diagnostic Laboratory AC-201, Version 6.1, 06-01-12 Page 8 of 27. The laboratory shall have documented policy, procedures, and/or work instructions that describe how laboratory documents affecting the quality of tests, including test methods, are reviewed, approved, issued, updated, revised, amended, retained or archived, and discarded. Procedures shall be reviewed and approved by authorized, qualified staff. Under 4.3.3 Changes to documents shall be identified clearly and reviewed and approved by an authorized, qualified officer, administrator or supervisor having access to pertinent background information concerning the change. Under 4.3.4 Documents shall be uniquely identified and accurately cross-referenced. Under 4.3.5 Documents shall include page numbers and total number of pages or a mark to signify the end of the document, American Association of Veterinary Laboratory Diagnosticians, Inc. NOTE: In this context “document” means any information or instructions, in any format or medium, that have direct bearing on or affect the quality of test results.

Retention:
EVT + 10 years
EVENT = Date of Discontinued Use of Last Version

Copies: Destroy when no longer need, but not longer than the Originals.

Confidential: Yes

PII: May contain PII

*See Access Requirements pg. 6
and includes not only the quality manual, policy, procedures, and instructions, but also test methods, worksheets, forms, international standards, and regulations. Some documents may contain information that falls under trade secrets, may be used for publication or contain a patentable element.

<table>
<thead>
<tr>
<th>GRS01775</th>
<th>WVDL Test Validation Records</th>
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<tr>
<td></td>
<td>Retention: EVT + 10 years EVENT = Date Discontinuance of Test. Copies: Destroy when no longer need, but not longer than the Originals. Confidential: May Be Confidential PII: May contain PII *See Access</td>
</tr>
<tr>
<td></td>
<td>Paper and Electronic Destroy Confidential WVDL</td>
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</tbody>
</table>
| GRSO1776 | WVDL Equipment Records | Records shall be maintained of each item of equipment significant to the tests performed. The records shall include at least the following:
- identity of the item of equipment;
- manufacturer's name, type identification, and serial number or other unique identification;
- verification that equipment complies with the specification;
- the current location, where appropriate;
- the manufacturer's instructions, if available, or reference to their location;
- dates, results and copies of reports and certificates of all calibrations, adjustments, acceptance criteria, and the due date of next calibration;
- maintenance carried out to date, and the maintenance plan;
- Damage, malfunction, modification or repair to the equipment. |
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<tr>
<td></td>
<td>Requirements pg. 6</td>
<td>Retention: Life of the Instrument or Discontinued Use + 10 years</td>
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<td>Paper and Electronic</td>
<td>Copies: Destroy when no longer need, but not longer than the Originals.</td>
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<tr>
<td></td>
<td>Destroy</td>
<td>Confidential: None</td>
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<td></td>
<td>None</td>
<td>PII: None</td>
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<td>WVDL</td>
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<tr>
<td>GRSC1777</td>
<td>WVDL Internal Audit Reports</td>
<td>Reports document the area of activity audited, the audit findings and corrective actions that arise from them shall be recorded.</td>
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<td>Copies: Destroy when no longer need, but not longer than the Originals. Confidential: May be Confidential PII: None</td>
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<td>*See Access Requirements pg. 6</td>
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<tr>
<td>GRS01778</td>
<td>WVDL Management Reports</td>
<td>Findings from management reviews and the actions that arise from them shall be recorded. The review shall take into consideration: a) suitability of policies and procedures; b) reports from managerial and supervisory personnel; c) reports of recent internal audits; d) corrective and preventive</td>
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<td>actions;</td>
<td>Confidential:</td>
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<td>e) assessments by external bodies;</td>
<td>May be</td>
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<td>f) results of inter-laboratory</td>
<td>Confidential</td>
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<td>comparisons or proficiency tests;</td>
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<td>g) changes in the volume and type</td>
<td>PII: None</td>
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<td>of work;</td>
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<td>h) client feedback;</td>
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<td>i) complaints;</td>
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<td>j) Other relevant factors, such as</td>
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<td>quality control activities, resources</td>
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<td>and staff training.</td>
<td>*See Access</td>
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<td>Requirements</td>
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<td>pg. 6</td>
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