

**Universities of Wisconsin Research Records Schedules**

Schedule Number	Schedule Title		Retention Event (EVT)	Retention Time Period	Disposition	PII	Confidential	Sunset Date
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.	Approval of Minutes	EVT + 3 years	Destroy Confidential	Yes	Yes	March 2025
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.	Completion of Research Activity	EVT + 3 years	Destroy	No	No	March 2025
UWRSC011	Continuing Review Records	Records of annual continuing review or 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.	Creation	EVT + 3 years	Destroy Confidential	Yes	Yes	March 2025
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.	Creation	EVT + 6 months	Destroy	No	No	March 2025
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.	Completion of Research	EVT + 3 years	Destroy Confidential	Yes	Yes	March 2025
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.	Creation	EVT + 3 years	Destroy Confidential	Yes	Yes	March 2025
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.	Superseded	EVT + 0	Destroy	No	No	March 2025
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.	Recording of Results in Master Database	EVT + 6 months	Destroy Confidential	Yes	Yes	March 2025
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.	Expiration of Eligibility	EVT + 7 years	Destroy Confidential	Yes	Yes	March 2025
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.	Creation	EVT + 3 years	Destroy	No	No	March 2025
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.	Creation	EVT + 3 years	Destroy	No	No	March 2025
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.	Completion of Research Activity	EVT + 3 years	Destroy	No	No	March 2025

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 acknowledgements; requests for sample products; acceptances or 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).	Completion of Research Activity	EVT + 5 years	Destroy Confidential	Yes	Yes	March 2025
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.	Completion of Research Activity	EVT + 6 years	Destroy Confidential	Yes	Yes	March 2025
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.	Creation	EVT + 20 years	Transfer to Archives	Yes	No	March 2025
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.	Completion of Research Activity	EVT + 7 years	Destroy	No	No	March 2025
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.	Superseded	EVT + 30 years	Destroy	No	No	March 2025
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.	Completion of Research Activity	EVT + 30 years	Destroy	No	No	March 2025
UWRSC025	Personal Dosimeter Application	Applications for use of a Dosimeter in conjunction with work 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.	Permanent	Permanent	Permanent	Yes	No	March 2025
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 transferable nature of the records; the retention period is based on the retention in RISK0092 (Radioactive Materials--Individual Monitoring Records).	Permanent	Permanent	Permanent	Yes	Yes	March 2025
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.	Superseded or End of User Access	EVT + 7 years	Destroy	No	No	March 2025

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. See authorization from agency level counsel before releasing any information.	Termination of Institution License	EVT + 7 years	Destroy	No	No	March 2025
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).	Creation	EVT + 7 years	Destroy	No	No	March 2025
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.	Creation	EVT + 12 years	Destroy	No	No	March 2025
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.	Last Contact with Client	EVT + 10 years	Destroy Confidential	Yes	Yes	March 2025
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.	19th Birthday of Client	EVT + 0	Destroy Confidential	Yes	Yes	March 2025
UWRSC032	Clinical Studies, Trials and Participant Study Records	This record series consists of research study case files or 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.	Last Contact with Client	EVT + 10 years	Destroy Confidential	Yes	Yes	March 2025
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.	Completion of Research Activities	EVT + 6 years	Destroy Confidential	Yes	Yes	March 2025
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.	Publication of Final Report	EVT + 10 years	Transfer to Archives	No	Yes	March 2025

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.	Compilation of Responses into Summary Report/Spreadsheet	EVT + 6 months	Destroy Confidential	Yes	Yes	March 2025
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.	Publication of Final Report	EVT + 4 years	Transfer to Archives	Yes	No	March 2025
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.	Date of Submission of Final Report	EVT + 4 years	Transfer to Archives	Yes	No	March 2025