

Procedure: IACUC-12
Date: August 4, 2022
Enabled by: PHS, AWA
Supersedes: September 5, 2019

**UC Davis
Institutional Animal Care and Use Committee (IACUC)**

Title: IACUC Records Retention Policy

I. Purpose:

This policy provides guidance regarding the retention of records to ensure that IACUC records are maintained for the time periods required by PHS Policy, the Animal Welfare Act (AWA), state regulations, AAALAC guidelines, as well as the UC Records and Retention Schedule, and then discarded to reduce administrative burden.

II. Policy:

The UC Davis IACUC Office will adhere to the records retention requirements described in the PHS Policy, UC Policy, and the AWA, which requires that all records be maintained for three years. Records that relate directly to proposed activities (protocols) or proposed changes to ongoing activities (amendments) shall be maintained for the duration of the activity and an additional three years after the completion of the activity.

The university will adhere to the negotiated record retention requirements set forth by funding agencies.

III. Procedure:

- A. The following records will be maintained by the IACUC office for the timeframe specified:
 - 1. Three Years:
 - a. Protocols, amendments, and IACUC meeting minutes that reflect these protocols and amendments will be maintained for three years after the protocol's expiration date.
 - b. Semi-annual program reviews and facility inspection reports will be maintained for three years from the date the review/inspection was conducted.
 - c. Laboratory inspection reports will be maintained for three years from the date of inspection.
 - d. Post-approval monitoring reports will be maintained for three years after the protocol's expiration date.

- e. USDA inspection reports will be maintained for three years from the date of the inspection.
 - f. Reports of concerns will be maintained for three years from the evaluation end date. If the report relates directly to a protocol, it will be maintained for three years after the protocol's expiration date.
 - g. IACUC correspondence with PIs, USDA, and OLAW will be maintained for three years from the date of the correspondence. If the correspondence relates directly to a protocol, it will be maintained for three years after the protocol's expiration date.
 - h. Department of Fish and Wildlife detrimental species records and permits will be maintained for three years (DF&W Restricted Species Manual 671.1(4)) from the date issued.
- B. The following records will be maintained by the veterinary services, individual laboratories, or the individual animal facilities for the timeframe specified. The generator of the documents, records, or data will retain them for the time period specified:
- i. Animal room temperature logs, daily check sheets, and husbandry logs will be maintained for three years.
 - j. Acquisition/Disposition Records for USDA covered species will be maintained for three years after animal disposition.
 - k. Quality assurance records (cage wash temperature results, Rodac plate results, sentinel reports, and autoclave monitoring results) will be kept for three years.
 - l. Medical, anesthesia and post op records, and any other animal procedure related records will be retained by the originator for no less than three years post completion of the research unless otherwise specified in the award agreement.

Non-animal-related records may have different retention policies depending on the funding agency. Animal research-related and clinical trial records may also be subject to longer retention times based on funding agency. For example, the FDA may have longer retention requirements for drug trials.

IV. **Resources:**

1. PHS Policy
<https://olaw.nih.gov/policies-laws/phs-policy.htm>
2. Animal Welfare Act and Regulations
<https://www.nal.usda.gov/awic/animal-welfare-act>
3. UCOP Administrative Records Relating to Research
<https://www.ucop.edu/research-policy-analysis-coordination/policies-guidance/record-retention/tables.html>