Administrative Records Relating to Research: Retention and Disposition Requirements

Last Updated: December 2016

Record	**Retention Period**	**Primary Source /** Secondary Source
INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC) RECORDS		
IACUC Records: Minutes	Retain records for 3 years after the protocol has ended. See ± below	**UC Records Retention Schedule, 0012B3*** **Animal Welfare Act 9 CFR 2.35(f)** NIH Institutional Animal Care and Use Committee Guidebook – p. 174
IACUC Records: Records of attendance	Retain records for 3 years after the protocol has ended. See± below	**UC Records Retention Schedule, 0012B3*** **Animal Welfare Act 9 CFR 2.35(f)** NIH Institutional Animal Care and Use Committee Guidebook – p. 174
IACUC Records: Activities of the committee	Retain records for 3 years after the protocol has ended. See ± below	**UC Records Retention Schedule, 0012B3*** **Animal Welfare Act 9 CFR 2.35(f)** NIH Institutional Animal Care and Use Committee Guidebook – p. 174
IACUC Records: Committee deliberations	Retain records for 3 years after the protocol has ended. See ± below	**UC Records Retention Schedule, 0012B3*** **Animal Welfare Act 9 CFR 2.35(f)** NIH Institutional Animal Care and Use Committee Guidebook – p. 174
IACUC Records: Applications	Retain records for 3 years after the protocol has ended. See ± below	**UC Records Retention Schedule, 0012B3*** **Animal Welfare Act 9 CFR 2.35(f)** **NIH Institutional Animal Care and Use Committee Guidebook – p. 174**
IACUC Records: Proposed activities involving animals (including documentation of IACUC approval / denial, minutes, semi- annual inspections, and research records associated with the protocol.)	Retain records for 3 years after the protocol has ended. See ± below	**UC Records Retention Schedule, 0012B3*** **Animal Welfare Act 9 CFR 2.35(f)** NIH Institutional Animal Care and Use Committee Guidebook – p. 174 PHS Policy IV.E.2. USDA-approved CBRA Guidelines for Record Retention For Protocols Operating Under NIH Grants CBRA Guidelines for Record Retention Requirements Under the AWA
IACUC Records: Proposed activities involving animals (including documentation of IACUC approval / denial)	Retain records for 3 years after the protocol has ended. See ± below	**UC Records Retention Schedule, 0012B3*** **Animal Welfare Act 9 CFR 2.35(f)** NIH Institutional Animal Care and Use Committee Guidebook – p. 174
IACUC Records: Proposed significant changes in activities involving animals (including documentation of IACUC approval / denial)	Retain records for 3 years after the protocol has ended. See ± below	**UC Records Retention Schedule, 0012B3*** **Animal Welfare Act 9 CFR 2.35(f)** NIH Institutional Animal Care and Use Committee Guidebook – p. 174
IACUC Records: Information as specified on any live dog or cat acquired, purchased or otherwise held	Retain records for 3 years after the disposition of the animal.	**UC Records Retention Schedule, 0012B4*** **Animal Welfare Act 9 CFR 2.35(f)** NIH Institutional Animal Care and Use Committee Guidebook – p. 174

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Administrative Records Relating to Research: Retention and Disposition Requirements

Last Updated: December 2016

Record	**Retention Period**	**Primary Source /** Secondary Source
IACUC Records: Information as specified on any dog or cat sold, euthanized or otherwise disposed of	Retain records for 3 years after the disposition of the animal.	**UC Records Retention Schedule, 0012B4*** **Animal Welfare Act 9 CFR 2.35(f)** NIH Institutional Animal Care and Use Committee Guidebook – p. 174
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 in research, and to share with regulatory agencies responsible for verifying the appropriate provision of veterinary care.	Retain records for 3 years after the protocol has ended. See ± below (For NIH-funded research: At least 3 years after completion of the activity. For protocols operating on an NIH grant, all *relevant animal records* should be maintained as a unit with the associated IACUC protocol and records, and share the same destroy date.) (Regardless of funding source: For USDA- covered species, throughout an animal's life and at least one year after the animal's death or disposition.)	**UC Records Retention Schedule, 0012B3*** **NIH Institutional Animal Care and Use Committee Guidebook – p. 174** USDA-approved CBRA Guidelines for Record Retention For Protocols Operating Under NIH Grants CBRA Guidelines for Record Retention Requirements Under the AWA
IACUC Records: Semi-Annual IACUC reports and recommendations	Retain records for 3 years after the protocol has ended. See ± below	**UC Records Retention Schedule, 0012B3*** **Animal Welfare Act 9 CFR 2.35(f)** **NIH Institutional Animal Care and Use Committee Guidebook – p. 174**
IACUC Records: Any reports and recommendations as forwarded to the institutional official	Retain records for 3 years after the protocol has ended. See ± below	**UC Records Retention Schedule, 0012B3***
IACUC Records: Records of accrediting body determinations	Retain records for 3 years after the protocol has ended. See ± below	**UC Records Retention Schedule, 0012B3*** **NIH Institutional Animal Care and Use Committee Guidebook – p. 174**

± For Institutional Animal Care and Use Committee Records, UC will interpret "activity" as protocol which is in accordance with the June 2010 Guidance issued by the California Biomedical Research Association. Thus, the retention period is 3 years from the protocol's end date or termination, whichever later occurs. If the initial protocol approval is followed by a de novo review and approval, this does not change the retention time frame associated with the initial protocol. Specifically, the records from the initial protocol need to be retained for 3 years following the end-date of the initial protocol, as indicated in the approval, regardless of subsequent de novo review and approval.

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Record	**Retention Period**	**Primary Source /** Secondary Source
CONFLICT OF INTEREST (COI) RECORDS		
COI Records: For NSF-funded research: Records of all financial disclosures and of all actions taken to resolve conflicts of interest	Retain records for 3 years after the end of the calendar year in which the expiration/termination of the sponsored agreement occurs.	**UC Records Retention Schedule, 0012B1*** **NSF Grant Policy Manual Chapter V Section 510, g**[++]
COI Records: For FDA-funded research: of Clinical Investigators' financial records - records of all financial disclosures and all actions taken	Retain records for 3 years after the end of the calendar year in which the expiration/termination of the sponsored agreement occurs.	**UC Records Retention Schedule, 0012B1*** **21 CFR §54.6(b)**
COI Records: For PHS-funded research (includes all NIH awards): Records of all financial disclosures and all actions taken	Retain records for 3 years after the end of the calendar year in which the expiration/termination of the sponsored agreement occurs.	**UC Records Retention Schedule, 0012B1*** **42 CFR 50.604(i)** [++]
COI Records: For research funded by non-governmental sponsors (as covered by the California Political Reform Act §18755): original reports or statements (including 700-U forms)	Retain records for 7 years after the end of the calendar year created. (Record may be retained on microfilm or other space-saving material after a period of 2 years – Government Code 81009(g))	**UC Records Retention Schedule, 0012B2*** **California Political Reform Act California Government Code 81009(e)**
COI Records: For research funded by non-governmental organizations (as covered by the California Political Reform Act §18755): copies of reports or statements (including 700-U forms)	Retain records until superseded or 5 years after the end of the fiscal year in which the certification was made, unless a longer period is specified in the legal requirements. Legal requirement is: Not less than 4 years Provided that retention of more than one copy is not required (Record may be retained on microfilm or other space-saving material after a period of 2 years – Government Code 81009(g))	**UC Records Retention Schedule, 0006C*** **California Political Reform Act California Government Code 81009(f)**

[++]*Requirements related to funding from other agencies may vary. In all instances, individual award agreements should be consulted to determine applicability of specific requirements.*

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Record	**Retention Period**	**Primary Source /** Secondary Source
RECORDS RELATING TO AGREEMENTS, AWARDS AND CONTRACTS		
Financial records pertinent to an award (Federal, State and Private)	Retain records for 6 years after the expiration/termination of the sponsored activities; resolution of any litigation, claim, or audit; or the period stated in the award document - whichever is longer.	**UC Records Retention Schedule, 0005A1***
Fiscal Reports, Federal Research	Retain records for 6 years after the expiration/termination of the sponsored activities; resolution of any litigation, claim, or audit; or the period stated in the award document - whichever is longer.	**UC Records Retention Schedule, 0005A1***
Statistical records and supporting documents pertinent to an award (Federal, State and Private) for FDA Regulated Sponsored Projects for Investigational New Drugs Applications	Retain records for 2 years following the date a marketing application is approved for the drug for the indication for which it is being investigated; or, if no application is to be filed or if the application is not approved for such indication, until 2 years after the investigation is discontinued and FDA is notified. If no notification of any of these activities occurs, then retain records for 6 years after the expiration/termination of the sponsored agreement; unless otherwise specified in the award agreement.	**UC Records Retention Schedule, 0012A2***
Statistical records and supporting documents pertinent to an award (Federal, State and Private) for FDA Regulated Sponsored Projects for Investigational Devices	Retain records for 2 years after the date on which the investigation is terminated or completed, or the date that the records are no longer required for purposes of supporting a premarket approval application or a notice of completion of a product development protocol - whichever is longer. If no notification of any of these activities occurs, then retain records for 6 years after the expiration/termination of the sponsored agreement, unless otherwise specified in the award agreement.	**UC Records Retention Schedule, 0012A3***

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Record	**Retention Period**	**Primary Source /** Secondary Source
Statistical records and supporting documents pertinent to an award (Federal, State and Private) for any projects that include working with radioactive contaminating materials with the Department of Energy and any prior Atomic Energy related entities	Permanent, coordinate the transfer of these records to the University Archives 10 years after termination of the contract or when no longer needed for current operational business.	**UC Records Retention Schedule, 0012A4***
Statistical records and supporting documents pertinent to any other awards not listed above (Federal, State and Private) for all other Sponsored Projects	Retain records for 6 years after the expiration/termination of the sponsored agreement, unless otherwise specified in the award agreement.	**UC Records Retention Schedule, 0012A5***
Proposals for sponsored contracts, grants, or cooperative agreements that are not accepted/funded/executed	These are considered non-records, and should be retained only until their usefulness has passed.	**UC Records Retention Schedule, 0012A1***
FDA Regulated Sponsored Projects Agreements Records for Investigational New Drugs Applications	Retain records for 2 years following the date a marketing application is approved for the drug for the indication for which it is being investigated; or, if no application is to be filed or if the application is not approved for such indication, until 2 years after the investigation is discontinued and FDA is notified. If no notification of any of these activities occurs, then retain records for 6 years after the expiration/termination of the sponsored agreement; unless otherwise specified in the award agreement.	**UC Records Retention Schedule, 0012A2*** **21 CFR § 312.62**

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Record	**Retention Period**	**Primary Source /** Secondary Source
FDA Regulated Sponsored Projects Agreements Records for Investigational Devices	Retain records for 2 years after the date on which the investigation is terminated or completed, or the date that the records are no longer required for purposes of supporting a premarket approval application or a notice of completion of a product development protocol - whichever is longer. If no notification of any of these activities occurs, then retain records for 6 years after the expiration/termination of the sponsored agreement, unless otherwise specified in the award agreement.	**UC Records Retention Schedule, 0012A3*** **21 CFR § 812.140**
Executed Sponsored Projects Agreements Records for any projects that include working with radioactive contaminating materials with the Department of Energy and any prior Atomic Energy related entities	Permanent, coordinate the transfer of these records to the University Archives 10 years after termination of the contract or when no longer needed for current operational business.	**UC Records Retention Schedule, 0012A4***
All Other Executed Contracts, Grants, and Cooperative Agreements Projects Records (funded proposals)	Retain records for 6 years after the expiration/termination of the sponsored agreement, unless otherwise specified in the award agreement.	**UC Records Retention Schedule, 0012A5*** **2 CFR §200.333**
Proposals for Extramural Support (Rejected or Withdrawn)	These are considered non-records, and should be retained only until their usefulness has passed.	**UC Records Retention Schedule, 0012A1***

Contracts and Grants Manual 17-300: "Federal and State of California funding agencies usually require records retention for three years (occasionally four years) measured from "final payment" for contracts and measured from "submission of final expenditures report" for grants. However, it is administratively unreasonably burdensome for Accounting Offices to notify the appropriate Office of Record when final payment or submission of the final expenditures report occurs for every extramural award. Therefore, the retention period for extramural award records is to be measured from expiration/termination of the extramural award (a much easier point in time to assess) forward six years. It is presumed that six years from expiration/termination will more than accommodate the three or four years from final payment or submission of the final expenditures report retention period imposed by extramural sponsors." [For Federal Guidelines: See 2 CFR 200.500 Audit Requirements/ For State Guidelines: See individual contract terms]

Record	**Retention Period**	**Primary Source /** Secondary Source
INSTITUTIONAL REVIEW BOARD (IRB) RECORDS		
IRB and academic research records pertaining to children as subjects	Retain records for 10 years after the end of the calendar year in which the research is completed, unless otherwise specified in the award agreement.	**UC Records Retention Schedule, 0012B5*** **UC Contracts and Grants Manual 18-272** 45 CFR 46.115 Protection of Human Subjects** 21 CFR 56.115 IRB Records

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Record	**Retention Period**	**Primary Source /** Secondary Source
IRB and academic research records pertaining to in vitro studies or pregnant women	Retain records for 10 years after the end of the calendar year in which the research is completed, unless otherwise specified in the award agreement.	**UC Records Retention Schedule, 0012B5*** **UC Contracts and Grants Manual 18-272** 45 CFR 46.115 Protection of Human Subjects** 21 CFR 56.115 IRB Records
IRB records: Reviewed research proposals	Retain records for 10 years after the end of the calendar year in which the research is completed, unless otherwise specified in the award agreement.	**UC Records Retention Schedule, 0012B5*** **UC Contracts and Grants Manual 18-272** 45 CFR 46.115 Protection of Human Subjects** 21 CFR 56.115 IRB Records
IRB Records: Scientific evaluations	Retain records for 10 years after the end of the calendar year in which the research is completed, unless otherwise specified in the award agreement.	**UC Records Retention Schedule, 0012B5*** **UC Contracts and Grants Manual 18-272** 45 CFR 46.115 Protection of Human Subjects** 21 CFR 56.115 IRB Records
IRB Records: Approved sample consent documents	Retain records for 10 years after the end of the calendar year in which the research is completed, unless otherwise specified in the award agreement.	**UC Records Retention Schedule, 0012B5*** **UC Contracts and Grants Manual 18-272** 45 CFR 46.115 Protection of Human Subjects** 21 CFR 56.115 IRB Records
IRB Records: Progress reports	Retain records for 10 years after the end of the calendar year in which the research is completed, unless otherwise specified in the award agreement.	**UC Records Retention Schedule, 0012B5*** **UC Contracts and Grants Manual 18-272** 45 CFR 46.115 Protection of Human Subjects** 21 CFR 56.115 IRB Records
IRB Records: Reports of unanticipated problems involving risks to subjects or others	Retain records for 10 years after the end of the calendar year in which the research is completed, unless otherwise specified in the award agreement.	**UC Records Retention Schedule, 0012B5*** **UC Contracts and Grants Manual 18-272** 45 CFR 46.115 Protection of Human Subjects** 21 CFR 56.115 IRB Records
IRB Records: Minutes of IRB meetings (as specified in 45 CFR 46.115(a)(2) and 21 CFR 56.115(2))	Retain records for 10 years after the end of the calendar year in which the research is completed, unless otherwise specified in the award agreement.	**UC Records Retention Schedule, 0012B5*** **UC Contracts and Grants Manual 18-272** 45 CFR 46.115 Protection of Human Subjects** 21 CFR 56.115 IRB Records
IRB Records: Records of continuing review activities	Retain records for 10 years after the end of the calendar year in which the research is completed, unless otherwise specified in the award agreement.	**UC Records Retention Schedule, 0012B5*** **UC Contracts and Grants Manual 18-272** 45 CFR 46.115 Protection of Human Subjects** 21 CFR 56.115 IRB Records
IRB Records: Copies of all correspondence between IRB and investigators	Retain records for 10 years after the end of the calendar year in which the research is completed, unless otherwise specified in the award agreement.	**UC Records Retention Schedule, 0012B5*** **UC Contracts and Grants Manual 18-272** 45 CFR 46.115 Protection of Human Subjects** 21 CFR 56.115 IRB Records

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Record	**Retention Period**	**Primary Source /** Secondary Source
IRB Records: List of IRB members (as specified in 45 CFR 46.115 and 21 CFR 56.115)	Retain records for 10 years after the end of the calendar year in which the research is completed, unless otherwise specified in the award agreement.	**UC Records Retention Schedule, 0012B5*** **UC Contracts and Grants Manual 18-272** 45 CFR 46.115 Protection of Human Subjects** 21 CFR 56.115 IRB Records
IRB Records: Written IRB procedures	Retain records for 10 years after the end of the calendar year in which the research is completed, unless otherwise specified in the award agreement.	**UC Records Retention Schedule, 0012B5*** **UC Contracts and Grants Manual 18-272** 45 CFR 46.115 Protection of Human Subjects** 21 CFR 56.115 IRB Records
IRB Records: Statements of significant new findings provided to subjects	Retain records for 10 years after the end of the calendar year in which the research is completed, unless otherwise specified in the award agreement.	**UC Records Retention Schedule, 0012B5*** **UC Contracts and Grants Manual 18-272** 45 CFR 46.115 Protection of Human Subjects** 21 CFR 56.115 IRB Records
IRB records relating to VA research, including the investigator's research records	These records are considered Federal Records and are currently considered unscheduled Federal Records. As unscheduled records, the original format of the record must be retained as the official recordkeeping copy until a proposed record retention and disposition schedule is submitted for review, appraisal, and approval by NARA.	**UC Records Retention Schedule, 0012B6*** **Template Memorandum of Understanding between Veterans Health Administration (VHA) Central Office and {Name of Local Veterans Affairs (VA) Facility} and {Name of Local VA Nonprofit Corporation}** **Guidance on VA Research Records and the Impact of the Federal Records Act, Office of Research and Development, Veterans Health Administration's, dated March 8, 2013**

***Per UC Policy on the Protection of Human Subjects in Research, "regulations of the Department of Health and Human Services (HHS), set forth in 45 CFR Part 46, are applicable to all research involving human subjects, as defined by these regulations, for which the University is responsible, regardless of the source of funding, or whether the research is funded."*

Record	**Retention Period**	**Primary Source /** Secondary Source
HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT (HIPAA) RECORDS		
HIPAA-related documents, as specified (policies and procedures, communications etc.)	6 years (from the date of creation or the date when it last was in effect, whichever is later)	**45 CFR 164.530(j)(2)**

Record	**Retention Period**	**Primary Source /** Secondary Source
RESEARCH MISCONDUCT RECORDS		
Research misconduct proceedings records, as specified	Retain records for 7 years after the end of the fiscal year in which the specific final report is issued or all specific activity has ended, whichever is longer.	**UC Records Retention Schedule, 0006B*** **42 CFR 93.317(b)**

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Record	Retention Period	Primary Source / Secondary Source
FOOD AND DRUG ADMINISTRATION (FDA) RECORDS		
Investigational New Drug Applications Records of drug disposition (to be retained by investigator)	2 years (following the date a marketing application is approved for the drug for the indication for which it is being investigated; or, if no application is to be filed or if the application is not approved for such indication, until 2 years after the investigation is discontinued and FDA is notified.)	**21 CFR 312.62(c)**
Case histories (to be retained by investigator)	2 years (following the date a marketing application is approved for the drug for the indication for which it is being investigated; or, if no application is to be filed or if the application is not approved for such indication, until 2 years after the investigation is discontinued and FDA is notified.)	**21 CFR 312.62(c)**
Records of receipt, shipment or disposition of an investigational new drug (to be retained by sponsor)	2 years (following the date a marketing application is approved for the drug for the indication for which it is being investigated; or, if no application is to be filed or if the application is not approved for such indication, until 2 years after the investigation is discontinued and FDA is notified.)	**21 CFR 312.57(c)**
Records showing any financial interest (to be retained by sponsor)	2 years (following the date a marketing application is approved for the drug for the indication for which it is being investigated; or, if no application is to be filed or if the application is not approved for such indication, until 2 years after the investigation is discontinued and FDA is notified.)	**21 CFR 312.57(c)**

Record	Retention Period	Primary Source / Secondary Source
BIOHAZARD USERS RECORDS		
User Authorization	30 years	**+EH&S Directors Consensus**
Biosafety Cabinet Testing Records	5 years	**8 CCR 5154.2**

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Record	**Retention Period**	**Primary Source /** Secondary Source
*+Incident Reports	30 years	**+EH&S Directors Consensus**
Inspections – Routine	5 years	**8 CCR 3203**
Investigation & Evaluation	5 years	**+EH&S Directors Consensus**
Records related to possession, use, and transfer of select agents and toxins, as specified	3 years	**42 CFR 73.17 7 CFR 331.17 9 CFR 121.17**
*+Emergency Response		**+EH&S Directors Consensus**

+ Agreement by EH&S Directors June 19, 1996.

*** + We recommend creation of an "exposure records" subcategory within each of the subject headings with these symbols *+. OSHA, 8 CCR 3204, requires that all exposure records (actual measurements) be kept 30 years after termination of employment. Non-exposure records may be kept 5 years.*

BUILDING RECORDS

General Correspondence	3 years	
*+Investigation & Evaluation	30 years	**8 CCR 3204**
Exposure Monitoring	30 years	**8 CCR 3204**

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Record	**Retention Period**	**Primary Source /** Secondary Source

CARCINOGEN USERS RECORDS

User Authorization	30 years	**+EH&S Directors Consensus**
*+Incident Reports	30 years	**+EH&S Directors Consensus**
Inspections – Routine	5 years	**+EH&S Directors Consensus**
Investigation & Evaluation	5 years	**+EH&S Directors Consensus**
*+Emergency Response	30 years	**+EH&S Directors Consensus**

+ Agreement by EH&S Directors June 19, 1996.

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DIVING SAFETY RECORDS

*+Incident Reports	Permanently	**American Academy of Underwater Sciences, Standards for Scientific Diving & UC Davis Diving Safety Manual**
Diving Logs	10 years	*+
Certifications	10 years	*+
Inspections – Routine	10 years	*+

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Record	**Retention Period**	**Primary Source /** Secondary Source

HAZARDOUS WASTE MANAGEMENT RECORDS

Correspondence	3 years	**+EH&S Directors Consensus**
Federal & State Reports	Permanently	**+EH&S Directors Consensus**
Professional Organization Affiliation	3 years	**+EH&S Directors Consensus**

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Record	**Retention Period**	**Primary Source /** Secondary Source
*+Incident Reports	Permanently	**8 CCR 3204**
Inspections – Routine	3 years	**22 CCR 66265.15**
*+Emergency Response	30 years	**8 CCR 3204**
Permits and Licenses	Permanently	**+EH&S Directors Consensus**
Pickup and Log Reports	3 years	**+EH&S Directors Consensus**
Disposal Manifests	30 years	**22 CCR 66262.40**
Annual Reports	3 years	**22 CCR 66262.57**
Biennial Reports	3 years	**40 CFR 262.40**
Waste Determination	3 years	**+EH&S Directors Consensus**
Waste Minimization	4 years (current plan only)	**22 CCR 67100.3**
Hazardous Waste Worker Training		**22 CCR 66265.16**
- Current Employees	-Until closing of facility	
- Former Employees	-3 years from termination	

+ Agreement by EH&S Directors June 19, 1996.

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Record	**Retention Period**	**Primary Source /** Secondary Source
INDUSTRIAL HYGIENE RECORDS		
*+Incident Reports	3 years	**+EH&S Directors Consensus**
Inspections – Routine	1 year	**8 CCR 3203**
*+Investigation & Evaluation	3 years	**+EH&S Directors Consensus**
Exposure/Medical Records		
Exposure records	30 years	**8 CCR 3204(d)(i)(B)(1)**
Medical records	Employment + 30 years	**8 CCR 3204(d)(i)(A)**
Analyses using exposure & medical records	30 years	**8 CCR 3204(d)(i)(B)(3)**
Noise		
Employee noise exposure	2 years	**8 CCR 5100(d)(1)**
Audiometric testing data	Duration of employment	**8 CCR 5100(d)(2)**
Respirators		
*+Respirator Fitting Records (spirometry)	30 years	**29 CFR 1910.20 8 CCR 3204**
Written standard operating procedures	Most recent version	**8 CCR 5144(f)(1)**
Inspection of emergency respirators documented	Most recent (on respirator)	**8 CCR 5144(d)(2)**

+ Agreement by EH&S Directors June 19, 1996.

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Record	**Retention Period**	**Primary Source /** Secondary Source
JOINT COMMISSION ON ACCREDITATION OF HEALTH CARE ORGANIZATIONS RECORDS (JCAHO)		
Safety Committee Agendas & Minutes	3 years	**Comprehensive Accreditation Manual for Hospitals**

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Record	Retention Period	Primary Source / Secondary Source
Management Plans with Monitors (Safety, Equipment, Lifting, Hazardous Materials, Security, Life Safety & Emergency Preparedness)	1 year	**Comprehensive Accreditation Manual for Hospitals**
Fire Drills/Disaster Preparedness Drills	1 year	**Comprehensive Accreditation Manual for Hospitals**

Record	Retention Period	Primary Source / Secondary Source
LABORATORY SAFETY RECORDS		
*+Incident Reports	3 years	**+EH&S Directors Consensus**
*+Investigation & Evaluation	3 years	**+EH&S Directors Consensus**
Inspections – Routine	5 years	**8 CCR 3203**
*+ Complaints	3 years	**+EH&S Directors Consensus**
Written chemical hygiene plan	Most recent version	**8 CCR 5191(e)**

+ Agreement by EH&S Directors June 19, 1996.

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Record	Retention Period	Primary Source / Secondary Source
MSDS/CHEMICAL INVENTORY RECORDS		
Material Safety Data Sheets or Chemical Inventory by location & date	30 years	**8 CCR 3204**
Written hazard communication program	Most recent version	**8 CCR 5194(e)(1)**

MEDICAL WASTE RECORDS		
Medical Waste Plan	Most recent version	**California Health and Safety Code Sections 117600-118360**
Financial Records	3 years	**+EH&S Directors Consensus**
Disposal Reports	30 years	**California Health and Safety Code Sections 117600-118360**
Treatment Records, SOPs, Indicator Tests	3 years	**California Health and Safety Code Sections 117600-118360**

+ Agreement by EH&S Directors June 19, 1996.

Record	Retention Period	Primary Source / Secondary Source
RADIATION RECORDS		
Committees Minutes	30 years	**+EH&S Directors Consensus**
Radiation Reports	3 years	**10 CFR 20.2102**
Incident Reports	3 years	**10 CFR 20.2102**
Correspondence	3 years	**10 CFR 20.2102**
License Violations	3 years	**10 CFR 20.2102**
Surveys	3 years	**10 CFR 20.2106**
Routine Inspections	3 years	**10 CFR 20.2106**
Audits	3 years	**10 CFR 20.2106**

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Record	**Retention Period**	**Primary Source /** Secondary Source
Instruments Calibration	3 years	**10 CFR 20.2106**
X-ray Machine Surveys	30 years	**+EH&S Directors Consensus** **17 CCR 30305-30314 (3 years for Fluoro and Therapy)**
Waste Disposal	30 years	**10 CFR 20.2108**
RUA (Radiation) Users	30 years	**10 CFR 20.2106 & 20.2107**
Dosimetry Results	30 years	**10 CFR 20.2106 & 20.2107**
Bioassay Results	30 years	**10 CFR 20.2106 & 20.2107**
Dose Determining Surveys	30 years	**10 CFR 20.2106 & 20.2107**
Isotope Purchases Inventories	3 years	**10 CFR 20.2102**

Record	**Retention Period**	**Primary Source /** Secondary Source
SAFETY RECORDS		
Confined Spaces		
Written program	Most recent version	**8 CCR 5157(c)(4)**
Cancelled permits	1 year	**8 CCR 5157(e)(6)**
Certification of training	Most recent version	**8 CCR 5157(g)(4)**
Cranes		
Proof load test documented	Most recent version	**8 CCR 5025**
Crane inspection documented	Most recent	**8 CCR 5031(c)**
Rope inspection documented	Most recent	**8 CCR 5031(e)**
Electrical		
Assured grounding program written	Most recent version	**8 CCR 2405.4(d)(1)**
Inspection records for tools & cord sets	Most recent version	**8 CCR 2405.4 (d)(7)**
Elevators		
Elevator permits	In unit or on file	**8 CCR 3100(c)(1)**
Emergencies		
Written emergency action plan	Most recent version	**8 CCR 3220**
Fire prevention plan	Most recent version	**8 CCR 3221**
Ergonomics	1 year	**8 CCR, Ch. 7, 3203**
Injury/Illness Records		
OSHA 200 logs	5 years	**8 CCR 14301**
Employers First Report Forms	5 years	**8 CCR 14301**
Lockout		
Written emergency control program	Most recent version	**8 CCR 3314(g)**
Annual inspections documented	5 years	**8 CCR 3314(h)(3)**
Manlifts		
Inspections	Until permanently removed from service	**8 CCR 3099(k)(3)**
Powered Platforms		
Written emergency plan	Most recent version	**8 CCR 3292(d) & 3294(i)**

* This symbol is part of the UC Records Retention Schedule's records code indicating that section is part of the updated schedule.

Record	**Retention Period**	**Primary Source /** Secondary Source
Written records of inspections	Most recent version	**8 CCR 3296(b)(2), (c)(2), (e)(5)**
Written work procedures	Most recent version	**8 CCR 3298(a)(4)**
Written training records	Most recent version	**8 CCR 3298(a)(5)**
Pressure Vessels		
Pressure Vessel Permits	Most recent version (on unit)	**8 CCR 461(c) & 780(c)**
Welding		
Fire prevention & suppression procedures	Most recent version	**8 CCR 4848**

Record	**Retention Period**	**Primary Source /** Secondary Source
TOXIC EXPOSURE RECORDS		
Employee Medical Records	30 years after termination	**8 CCR 3204**

Record	**Retention Period**	**Primary Source /** Secondary Source
OTHER RECORDS		
Registered Research Facility Permit	Until revoked or returned to USDA	**UC Disposition Schedule**

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