

University of Louisville
Institutional Animal Care and Use Committee
Policies and Procedures

Record Retention

Policy: Records and documents pertaining to animals necessary for research, teaching and testing, in addition to IACUC functions will be retained according to this policy. Once the required retention period has ended, all records and documents will be destroyed.

Rationale: Federal animal welfare laws and regulations in addition to Kentucky state laws and statutes require that records and documents pertaining to animals necessary for research, teaching and testing be retained for specified periods of time.

Procedures, Guidelines, and Exceptions:

1. **Records and Documents Retained for 7 Years Due to Research Misconduct (Non-Compliance)**
 - a. Records that are part of research misconduct, including self-reports and anonymous reports of concern.
 - b. Correspondence with PI and regulatory authorities.
 - c. IACUC proposals and significant changes (modifications) and reviews.
 - d. IACUC proposal approval letters.
 - e. IACUC agendas, minutes and decisions.
 - f. Memoranda Of Understanding (MOU's) and Inter-Institutional Agreements (IIA's) between collaborating institutions.
 - g. Grant to IACUC proposal congruency reviews.
 - h. Comparative Medicine Research Unit (CMRU) records of animal acquisition, including CMRU invoices, that serve as records of acquisition of animals.
 - i. CMRU animal disposition records.
 - j. CMRU animal health records.

2. **Records and Documents Retained for 3 Years Past the Study End Date with No Research Misconduct (Non-Compliance)**
 - a. The study end date is specified as the date an IACUC proposal expires.
 - b. IACUC proposals, significant changes (modifications) and reviews.
 - c. IACUC proposal approval letters.
 - d. IACUC agendas, minutes and decisions.
 - e. MOU's and IIA's between collaborating institutions.
 - f. Grant to IACUC proposal congruency reviews.
 - g. CMRU records of animal acquisition, including CMRU invoices, that serve as records of acquisition of animals.
 - h. CMRU animal disposition records.
 - i. CMRU animal health records.

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3. Records Retained for 3 Years

- a. CMRU animal husbandry room maintenance logs.
- b. CMRU animal housing room temperature and humidity logs.
- c. CMRU animal feed and enrichment logs.
- d. CMRU cagewash records.
- e. CMRU refrigerator and freezer temperature logs.
- f. IACUC proposals, significant changes (modifications) and reviews.
- g. IACUC proposal approval letters.
- h. IACUC agendas, minutes and decisions.
- i. MOU's and IIA's between collaborating institutions.
- j. Grant to IACUC proposal congruency reviews.
- k. IACUC member appointment letters.
- l. IACUC Semi-annual inspection findings and reports to the Institutional Official.
- m. USDA and any other outside inspection/site visit reports and letters.
- n. Annual reports to outside regulatory and accrediting agencies.

References:

1. Animal Welfare Act (AWA) of 1966 (P.L. 89-544) inclusive of amendments; 1970 (P.L. 91-579); 1976 (P.L. 94-279); 1985 (P.L. 99-198); 1990 (P.L. 101-624); and subsequent amendments. Associated regulations.
2. State of Kentucky KRS 171.410; State University Records Retention Schedule; U1803

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