Re: Administrative Records Relating to Research – Retention and Disposition Requirements

Dear Colleagues:

As you may be aware, the University currently maintains a Records Disposition Schedule (http://www.ucop.edu/recordsretention/) that provides information on retention and disposition requirements for over 1,300 different documents. The schedule includes many, but not all, administrative research records. In response to campus requests for a more accessible source of information related to research records, my office has compiled a matrix of retention and disposition requirements for such records. A copy is enclosed for your information and use, and may be accessed online at http://www.ucop.edu/research/.

The enclosed matrix is intended to provide a “quick reference” for individuals who require information on University, state and federal requirements for the retention and disposition of records that relate to the University’s administration of research. The matrix is not exhaustive, and should be considered a “living” document; I encourage you to contact my office regarding any record that may not be included in this first version. The enclosed matrix does not in anyway supersede the existing University Records Disposition Schedule. Where we have included records in the matrix that are not included in the University schedule, information about requirements for their retention and disposition comes directly from state or federal law or from existing University guidance related to Environmental Health & Safety records. In all instances, contracts associated with extramural funding should be consulted for specific retention and disposition requirements applicable to an individual award.

Finally, I’d like to take this opportunity to remind you that no record may be destroyed while audit, misconduct or legal action is pending. However, retaining records beyond their retention period may lead to unwarranted storage and maintenance costs. I encourage you to consult the UC Business and Finance Bulletin RMP-2: Records retention and disposition: principles, processes and guidelines (http://www.ucop.edu/ucophome/policies/bfb/rmp2.pdf) for more extensive guidance regarding when and how to dispose of administrative records upon expiration of a retention period.
I hope that you find the enclosed matrix useful and encourage you to distribute it broadly as appropriate. Please do not hesitate to contact Ellen Auriti (ellen.auriti@ucop.edu) or Elizabeth Langdon-Gray (elizabeth.langdon-gray@ucop.edu) in my office with any questions you may have.

Sincerely,

[Signature]

Lawrence B. Coleman
Vice Provost for Research

Enclosure

cc. Campus Institutional Review Board Directors
   Campus Compliance Officers
   Campus Conflict of Interest Officers
   Campus Environmental Health & Safety Directors
   Executive Director Auriti
   Director Mears
   Director Schlesinger
   Counsel Stein
   Manager Williams
   Coordinator Evans
   Coordinator Yoder
   Principal Analyst Langdon-Gray
# Administrative Records Relating to Research: Retention and Disposition Requirements

<table>
<thead>
<tr>
<th>Record</th>
<th>Retention Period</th>
<th>Primary Source / Secondary Source</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC) RECORDS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>IACUC Records: Minutes</td>
<td>At least 3 years</td>
<td>Animal Welfare Act 9 CFR 2.35</td>
</tr>
<tr>
<td></td>
<td>(Records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years)</td>
<td>NIH Institutional Animal Care and Use Committee Guidebook – p. 174</td>
</tr>
<tr>
<td></td>
<td></td>
<td>UC Contracts and Grants Manual Chapter 18-465</td>
</tr>
<tr>
<td>IACUC Records: Records of attendance</td>
<td>At least 3 years</td>
<td>Animal Welfare Act 9 CFR 2.35</td>
</tr>
<tr>
<td></td>
<td>(Records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years)</td>
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</tr>
<tr>
<td></td>
<td></td>
<td>UC Contracts and Grants Manual Chapter 18-465</td>
</tr>
<tr>
<td>IACUC Records: Activities of the committee</td>
<td>At least 3 years</td>
<td>Animal Welfare Act 9 CFR 2.35</td>
</tr>
<tr>
<td></td>
<td>(Records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years)</td>
<td>NIH Institutional Animal Care and Use Committee Guidebook – p. 174</td>
</tr>
<tr>
<td></td>
<td></td>
<td>UC Contracts and Grants Manual Chapter 18-465</td>
</tr>
<tr>
<td>IACUC Records: Committee deliberations</td>
<td>At least 3 years</td>
<td>Animal Welfare Act 9 CFR 2.35</td>
</tr>
<tr>
<td></td>
<td>(Records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years)</td>
<td>NIH Institutional Animal Care and Use Committee Guidebook – p. 174</td>
</tr>
<tr>
<td></td>
<td></td>
<td>UC Contracts and Grants Manual Chapter 18-465</td>
</tr>
<tr>
<td>IACUC Records: Applications</td>
<td>At least 3 years</td>
<td>NIH Institutional Animal Care and Use Committee Guidebook – p. 174</td>
</tr>
<tr>
<td></td>
<td>(Records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>UC Contracts and Grants Manual Chapter 18-465</td>
</tr>
<tr>
<td>IACUC Records: Proposed activities involving animals (including documentation of IACUC approval / denial)</td>
<td>At least 3 years</td>
<td>Animal Welfare Act 9 CFR 2.35</td>
</tr>
<tr>
<td></td>
<td>(Records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years)</td>
<td>NIH Institutional Animal Care and Use Committee Guidebook – p. 174</td>
</tr>
<tr>
<td></td>
<td></td>
<td>UC Contracts and Grants Manual Chapter 18-465</td>
</tr>
<tr>
<td>IACUC Records: Proposed significant changes in activities involving animals (including documentation of IACUC approval / denial)</td>
<td>At least 3 years</td>
<td>Animal Welfare Act 9 CFR 2.35</td>
</tr>
<tr>
<td></td>
<td>(Records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years)</td>
<td>NIH Institutional Animal Care and Use Committee Guidebook – p. 174</td>
</tr>
<tr>
<td></td>
<td></td>
<td>UC Contracts and Grants Manual Chapter 18-465</td>
</tr>
<tr>
<td>IACUC Records: Information as specified on any live dog or cat acquired, purchased or otherwise held</td>
<td>At least 3 years</td>
<td>Animal Welfare Act 9 CFR 2.35</td>
</tr>
<tr>
<td></td>
<td>(Records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years)</td>
<td>NIH Institutional Animal Care and Use Committee Guidebook – p. 174</td>
</tr>
</tbody>
</table>

Last Updated: August, 2006
| IACUC Records: Information as specified on any dog or cat sold, euthanized or otherwise disposed of | At least 3 years (Records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years) | Animal Welfare Act 9 CFR 2.35 NIH Institutional Animal Care and Use Committee Guidebook – p. 174 |
| IACUC Records: Semi-Annual IACUC reports and recommendations | At least 3 years (Records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years) | Animal Welfare Act 9 CFR 2.35 NIH Institutional Animal Care and Use Committee Guidebook – p. 174 |
| IACUC Records: Any reports and recommendations as forwarded to the institutional official | At least 3 years (Records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years) | UC Contracts and Grants Manual Chapter 18-465 |
| IACUC Records: Records of accrediting body determinations | At least 3 years (Records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years) | UC Contracts and Grants Manual Chapter 18-465 NIH Institutional Animal Care and Use Committee Guidebook – p. 174 |

**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. | At least 3 years (Beyond the termination or completion of the grant to which they relate, or until the resolution of any NSF action involving those records) | NSF Grant Policy Manual Chapter V Section 510* |
| COI Records: For PHS-funded research (includes all NIH awards): Records of all financial disclosures and all actions taken by the Institution with respect to each conflicting interest. | At least 3 years (From the date of submission of the final expenditures report or, where applicable, from other dates specified in 45 CFR 74.53(b) for different situations) | 42 CFR 50.604* |
| 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) | Not less than 7 years (Record may be retained on microfilm or other space-saving material after a period of 2 years – Government Code 81009(f)) | California Political Reform Act California Government Code 81009(d) |
| 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) | 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(f)) | 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.

**RECORDS RELATING TO AGREEMENTS, AWARDS AND CONTRACTS**

| Financial records pertinent to an award (Federal, State and Private) | Records Copy1: Longer of 6 years after expiration/termination; resolution of any litigation, claim or audit; or period stated in award document. All subject to archival | Contracts and Grants Manual 17-300* |

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1 In the UC Disposition Schedule and the UC Contracts and Grants Manual, “Record Copy” refers to the authoritative copy of a record that would, for example, be produced in the case of an audit. “Other Copy” refers to a copy of a record that may be kept for informational or convenience reasons.
<table>
<thead>
<tr>
<th>Topic</th>
<th>Retention Period</th>
<th>Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Statistical records pertinent to an award (Federal, State and Private)</td>
<td>Records Copy: Longer of 6 years after expiration/termination; resolution of any litigation, claim or audit; or period stated in award document. All subject to archival review. Other copy: 0-5 years.</td>
<td>Contracts and Grants Manual 17-300*</td>
</tr>
<tr>
<td>Supporting documents pertinent to an award (Federal, State and Private)</td>
<td>Records Copy: Longer of 6 years after expiration/termination; resolution of any litigation, claim or audit; or period stated in award document. All subject to archival review. Other copy: 0-5 years.</td>
<td>Contracts and Grants Manual 17-300*</td>
</tr>
<tr>
<td>Fiscal Reports, Federal Research</td>
<td>Record Copy: 10 years</td>
<td>UC Disposition Schedule</td>
</tr>
<tr>
<td>Contracts, grants, and cooperative agreements (including funded proposals)</td>
<td>Record Copy: Longer of 6 years after expiration/termination; resolution of any litigation, claim or audit; or period stated in award document. All subject to archival review. Other Copy: 0-5 years</td>
<td>UC Disposition Schedule</td>
</tr>
<tr>
<td>Contract &amp; Grant Proposals (sorted by campus-sponsor-department; quarterly)</td>
<td>Record Copy: 5 years Other Copy: 0-5 years</td>
<td>UC Disposition Schedule</td>
</tr>
<tr>
<td>Advice of Contract/Grant Proposal (Electronic Data Processing in-put documents)</td>
<td>Record Copy: 0-3 years Other Copy: 0-1 years</td>
<td>UC Disposition Schedule</td>
</tr>
<tr>
<td>Proposals for Extramural Support (Rejected or Withdrawn)</td>
<td>Record copy: 0-2 years Other Copy: 0-1 year</td>
<td>UC Disposition Schedule</td>
</tr>
<tr>
<td>Proposals for Extramural Support (Pending)</td>
<td>Record Copy: Hold until proposal is awarded, rejected, or withdrawn Other copy: Same</td>
<td>UC Disposition Schedule</td>
</tr>
</tbody>
</table>

*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: OMB Circular A110 / For State Guidelines: See individual contract terms ]

**INSTITUTIONAL REVIEW BOARD (IRB) RECORDS**

<table>
<thead>
<tr>
<th>Record Type</th>
<th>Retention Period</th>
<th>Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>IRB and academic research records pertaining to children as subjects</td>
<td>7 years after the child reaches the age of maturity (18 in California)</td>
<td>UC Contracts and Grants Manual Chapter 18-272</td>
</tr>
<tr>
<td>IRB and academic research records pertaining to in vitro studies or pregnant women</td>
<td>25 years</td>
<td>UC Contracts and Grants Manual Chapter 18-272</td>
</tr>
<tr>
<td>IRB records: Reviewed research proposals</td>
<td>At least three years (all records shall be retained at least three</td>
<td>45 CFR 46.115 Protection of Human Subjects*</td>
</tr>
</tbody>
</table>

University of California Office of the President
Office of Research
<table>
<thead>
<tr>
<th>IRB Records:</th>
<th>At least three years</th>
<th>Protection of Human Subjects*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scientific evaluations</td>
<td></td>
<td>21 CFR 56.115</td>
</tr>
<tr>
<td>Approved sample consent documents</td>
<td></td>
<td>45 CFR 46.115</td>
</tr>
<tr>
<td>Progress reports</td>
<td></td>
<td>21 CFR 56.115</td>
</tr>
<tr>
<td>Reports of unanticipated problems involving risks to subjects or others</td>
<td>At least three years</td>
<td>45 CFR 46.115</td>
</tr>
<tr>
<td>Minutes of IRB meetings (as specified in 45 CFR 46.115(a)(2) and 21 CFR 56.115(2))</td>
<td>At least three years</td>
<td>21 CFR 56.115</td>
</tr>
<tr>
<td>Records of continuing review activities</td>
<td></td>
<td>45 CFR 46.115</td>
</tr>
<tr>
<td>Copies of all correspondence between IRB and investigators</td>
<td></td>
<td>21 CFR 56.115</td>
</tr>
<tr>
<td>List of IRB members (as specified in 45 CFR 46.115 and 21 CFR 56.115)</td>
<td>At least three years</td>
<td>21 CFR 56.115</td>
</tr>
<tr>
<td>Written IRB procedures</td>
<td></td>
<td>45 CFR 46.115</td>
</tr>
<tr>
<td>Statements of significant new findings provided to subjects</td>
<td>At least three years</td>
<td>21 CFR 56.115</td>
</tr>
</tbody>
</table>

*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.”

**HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT (HIPAA) RECORDS**

<table>
<thead>
<tr>
<th>HIPAA-related documents, as specified (policies and procedures, communications etc.)</th>
<th>6 years</th>
<th>45 CFR 164.530(j)(1)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(from the date of creation or the date when it last was in effect, whichever is later)</td>
<td></td>
</tr>
</tbody>
</table>
### RESEARCH MISCONDUCT RECORDS

| Records of research misconduct proceedings, as specified | 7 years (after completion of the proceeding or the completion of any PHS proceeding involving the research misconduct allegation – whichever is later) | 42 CFR 93.317 |

### FOOD AND DRUG ADMINISTRATION (FDA) RECORDS

<table>
<thead>
<tr>
<th>Investigational New Drug Applications</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Records of drug disposition (to be retained by investigator)</td>
<td>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 the application is not approved for such indication, until 2 years after the investigation is discontinued and FDA is notified)</td>
</tr>
<tr>
<td>Case histories (to be retained by investigator)</td>
<td>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 the application is not approved for such indication, until 2 years after the investigation is discontinued and FDA is notified)</td>
</tr>
<tr>
<td>Records of receipt, shipment or disposition of an investigational new drug (to be retained by sponsor)</td>
<td>2 years (following the date a marketing application is approved for the drug; or, if an application is not approved for the drug, until two years after shipment and delivery of the drug for investigational use is discontinued and FDA has been so notified)</td>
</tr>
<tr>
<td>Records showing any financial interest (to be retained by sponsor)</td>
<td>2 years (following the date a marketing application is approved for the drug; or, if an application is not approved for the drug, until two years after shipment and delivery of the drug for investigational use is discontinued and FDA has been so notified)</td>
</tr>
</tbody>
</table>

### BIOHAZARD USERS RECORDS

| User Authorization | 30 years | +EH&S Directors Consensus |
| Biosafety Cabinet Testing Records | 5 years | 8 CCR 5154.2 |
| *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 asterisked. 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 five years.

### BUILDING RECORDS

| General Correspondence | 3 years | |
| *Investigation & Evaluation | 30 years | 8 CCR 3204 |
| Exposure Monitoring | 30 years | 8 CCR 3204 |
* We recommend creation of an “exposure records” subcategory within each of the subject headings asterisked. 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 five years.

### CARCINOGEN USERS RECORDS

<table>
<thead>
<tr>
<th>Category</th>
<th>Retention Period</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>User Authorization</td>
<td>30 years</td>
<td>+EH&amp;S Directors Consensus</td>
</tr>
<tr>
<td>*Incident Reports</td>
<td>30 years</td>
<td>+EH&amp;S Directors Consensus</td>
</tr>
<tr>
<td>Inspections – Routine</td>
<td>5 years</td>
<td>+EH&amp;S Directors Consensus</td>
</tr>
<tr>
<td>Investigation &amp; Evaluation</td>
<td>5 years</td>
<td>+EH&amp;S Directors Consensus</td>
</tr>
<tr>
<td>*Emergency Response</td>
<td>30 years</td>
<td>+EH&amp;S Directors Consensus</td>
</tr>
</tbody>
</table>

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

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### DIVING SAFETY RECORDS

<table>
<thead>
<tr>
<th>Category</th>
<th>Retention Period</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Diving Logs</td>
<td>10 years</td>
<td>*</td>
</tr>
<tr>
<td>Certifications</td>
<td>10 years</td>
<td>*</td>
</tr>
<tr>
<td>Inspections – Routine</td>
<td>10 years</td>
<td>*</td>
</tr>
</tbody>
</table>

* We recommend creation of an “exposure records” subcategory within each of the subject headings asterisked. 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 five years.

### HAZARDOUS WASTER MANAGEMENT RECORDS

<table>
<thead>
<tr>
<th>Category</th>
<th>Retention Period</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Correspondence</td>
<td>3 years</td>
<td>+EH&amp;S Directors Consensus</td>
</tr>
<tr>
<td>Federal &amp; State Reports</td>
<td>Permanently</td>
<td>+EH&amp;S Directors Consensus</td>
</tr>
<tr>
<td>Professional Organization Affiliation</td>
<td>3 years</td>
<td>+EH&amp;S Directors Consensus</td>
</tr>
<tr>
<td>*Incident Reports</td>
<td>Permanently</td>
<td>8 CCR 3204</td>
</tr>
<tr>
<td>Inspections – Routine</td>
<td>3 years</td>
<td>22 CCR 66265.15</td>
</tr>
<tr>
<td>*Emergency Response</td>
<td>30 years</td>
<td>8 CCR 3204</td>
</tr>
<tr>
<td>Permits and Licenses</td>
<td>Permanently</td>
<td>+EH&amp;S Directors Consensus</td>
</tr>
<tr>
<td>Pickup and Log Reports</td>
<td>3 years</td>
<td>+EH&amp;S Directors Consensus</td>
</tr>
<tr>
<td>Disposal Manifests</td>
<td>30 years</td>
<td>22 CCR 66262.40</td>
</tr>
<tr>
<td>Annual Reports</td>
<td>3 years</td>
<td>22 CCR 66262.57</td>
</tr>
<tr>
<td>Biennial Reports</td>
<td>3 years</td>
<td>40 CFR 262.40</td>
</tr>
<tr>
<td>Waste Determination</td>
<td>3 years</td>
<td>+EH&amp;S Directors Consensus</td>
</tr>
<tr>
<td>Waste Minimization</td>
<td>4 years (current plan only)</td>
<td>22 CCR 67100.3</td>
</tr>
<tr>
<td>Hazardous Waste Worker Training</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Current Employees</td>
<td>Until closing of facility</td>
<td>22 CCR 66265.16</td>
</tr>
<tr>
<td>Former Employees</td>
<td>3 years from termination</td>
<td>22 CCR 66265.16</td>
</tr>
</tbody>
</table>

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

* We recommend creation of an “exposure records” subcategory within each of the subject headings asterisked. 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 five years.

### INDUSTRIAL HYGIENE RECORDS

<table>
<thead>
<tr>
<th>Category</th>
<th>Retention Period</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>*Incident Reports</td>
<td>3 years</td>
<td>+EH&amp;S Directors Consensus</td>
</tr>
<tr>
<td>Inspections – Routine</td>
<td>1 year</td>
<td>8 CCR 3203</td>
</tr>
<tr>
<td>*Investigation &amp; Evaluation</td>
<td>3 years</td>
<td>+EH&amp;S Directors Consensus</td>
</tr>
</tbody>
</table>
Exposure/Medical Records

<table>
<thead>
<tr>
<th>Exposure records</th>
<th>30 years</th>
<th>8 CCR 3204(d)(i)(B)(1)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Medical records</td>
<td>Employment + 30 years</td>
<td>8 CCR 3204(d)(i)(A)</td>
</tr>
<tr>
<td>Analyses using exposure &amp; medical records</td>
<td>30 years</td>
<td>8 CCR 3204(d)(i)(B)(3)</td>
</tr>
</tbody>
</table>

Noise

<table>
<thead>
<tr>
<th>Employee noise exposure</th>
<th>2 years</th>
<th>8 CCR 5100(d)(1)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audiometric testing data</td>
<td>Duration of employment</td>
<td>8 CCR 5100(d)(2)</td>
</tr>
</tbody>
</table>

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) |

* We recommend creation of an “exposure records” subcategory within each of the subject headings asterisked. 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 five years.

JOINT COMMISSION ON ACCREDITATION OF HEALTH CARE ORGANIZATIONS RECORDS (JCAHO)

<table>
<thead>
<tr>
<th>Safety Committee Agendas &amp; Minutes</th>
<th>3 years</th>
<th>Comprehensive Accreditation Manual for Hospitals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fire Drills/Disaster Preparedness Drills</td>
<td>1 year</td>
<td>Comprehensive Accreditation Manual for Hospitals</td>
</tr>
</tbody>
</table>

* We recommend creation of an “exposure records” subcategory within each of the subject headings asterisked. 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 five years.

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.
* We recommend creation of an “exposure records” subcategory within each of the subject headings asterisked. 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 five years.

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

<table>
<thead>
<tr>
<th>Record Type</th>
<th>Retention Period</th>
<th>Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Medical Waste Plan</td>
<td>Most recent version</td>
<td>California Health and Safety Code Sections 117600-118360</td>
</tr>
<tr>
<td>Financial Records</td>
<td>3 years</td>
<td>+EH&amp;S Directors Consensus</td>
</tr>
<tr>
<td>Disposal Reports</td>
<td>30 years</td>
<td>California Health and Safety Code Sections 117600-118360</td>
</tr>
<tr>
<td>Treatment Records, SOPs, Indicator Tests</td>
<td>3 years</td>
<td>California Health and Safety Code Sections 117600-118360</td>
</tr>
</tbody>
</table>

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

## RADIATION RECORDS

<table>
<thead>
<tr>
<th>Record Type</th>
<th>Retention Period</th>
<th>Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Committees Minutes</td>
<td>30 years</td>
<td>+EH&amp;S Directors Consensus</td>
</tr>
<tr>
<td>Radiation Reports</td>
<td>3 years</td>
<td>10 CFR 20.2102</td>
</tr>
<tr>
<td>Incident Reports</td>
<td>3 years</td>
<td>10 CFR 20.2102</td>
</tr>
<tr>
<td>Correspondence</td>
<td>3 years</td>
<td>10 CFR 20.2102</td>
</tr>
<tr>
<td>License Violations</td>
<td>3 years</td>
<td>10 CFR 20.2102</td>
</tr>
<tr>
<td>Surveys</td>
<td>3 years</td>
<td>10 CFR 20.2106</td>
</tr>
<tr>
<td>Routine Inspections</td>
<td>3 years</td>
<td>10 CFR 20.2106</td>
</tr>
<tr>
<td>Audits</td>
<td>3 years</td>
<td>10 CFR 20.2106</td>
</tr>
<tr>
<td>Instruments Calibration</td>
<td>3 years</td>
<td>10 CFR 20.2106</td>
</tr>
<tr>
<td>X-ray Machine Surveys</td>
<td>30 years</td>
<td>+EH&amp;S Directors Consensus</td>
</tr>
<tr>
<td>Waste Disposal</td>
<td>30 years</td>
<td>10 CFR 20.2108</td>
</tr>
<tr>
<td>RUA (Radiation) Users</td>
<td>30 years</td>
<td>10 CFR 20.2106 &amp; 20.2107</td>
</tr>
<tr>
<td>Dosimetry Results</td>
<td>30 years</td>
<td>10 CFR 20.2106 &amp; 20.2107</td>
</tr>
<tr>
<td>Bioassay Results</td>
<td>30 years</td>
<td>10 CFR 20.2106 &amp; 20.2107</td>
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<tr>
<td>Dose Determining Surveys</td>
<td>30 years</td>
<td>10 CFR 20.2106 &amp; 20.2107</td>
</tr>
<tr>
<td>Isotope Purchases Inventories</td>
<td>3 years</td>
<td>10 CFR 20.2102</td>
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## SAFETY RECORDS

<table>
<thead>
<tr>
<th>Record Type</th>
<th>Retention Period</th>
<th>Reference</th>
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<tbody>
<tr>
<td>Confined Spaces</td>
<td></td>
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</tr>
<tr>
<td>Written program</td>
<td>Most recent version</td>
<td>8 CCR 5157(c)(4)</td>
</tr>
<tr>
<td>Cancelled permits</td>
<td>1 year</td>
<td>8 CCR 5157(c)(6)</td>
</tr>
<tr>
<td>Certification of training</td>
<td>Most recent version</td>
<td>8 CCR 5157(g)(4)</td>
</tr>
<tr>
<td>Cranes</td>
<td></td>
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</tr>
<tr>
<td>Proof load test documented</td>
<td>Most recent version</td>
<td>8 CCR 5025</td>
</tr>
<tr>
<td>Crane inspection documented</td>
<td>Most recent</td>
<td>8 CCR 5031(c)</td>
</tr>
<tr>
<td>Rope inspection documented</td>
<td>Most recent</td>
<td>8 CCR 5031(e)</td>
</tr>
<tr>
<td>Electrical</td>
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<tr>
<td>Assured grounding program written</td>
<td>Most recent version</td>
<td>8 CCR 2405.4 (d)(1)</td>
</tr>
<tr>
<td>Inspection records for tools &amp; cord sets</td>
<td>Most recent</td>
<td>8 CCR 2405.4 (d)(7)</td>
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<tr>
<td>Elevators</td>
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<tr>
<td>Elevator permits</td>
<td>In unit or on file</td>
<td>8 CCR 3100(c)(1)</td>
</tr>
<tr>
<td>Emergencies</td>
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<tr>
<td>Written emergency action plan</td>
<td>Most recent version</td>
<td>8 CCR 3220</td>
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<tr>
<td>Fire prevention plan</td>
<td>Most recent version</td>
<td>8 CCR 3221</td>
</tr>
<tr>
<td>Ergonomics</td>
<td>1 year</td>
<td>8 CCR, Ch. 7, 3203</td>
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<tr>
<td>Injury/Illness Records</td>
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<td>Record Type</td>
<td>Retention Period</td>
<td>Code</td>
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<td>OSHA 200 logs</td>
<td>5 years</td>
<td>8 CCR 14301</td>
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<tr>
<td>Employers First Report Forms</td>
<td>5 years</td>
<td>8 CCR 14301</td>
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<tr>
<td><strong>Lockout</strong></td>
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<tr>
<td>Written emergency control program</td>
<td>Most recent version</td>
<td>8 CCR 3314(g)</td>
</tr>
<tr>
<td>Annual inspections documented</td>
<td>5 years</td>
<td>8 CCR 3314(h)(3)</td>
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<tr>
<td><strong>Manlifts</strong></td>
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<tr>
<td>Inspections</td>
<td>Until permanently removed from service</td>
<td>8 CCR 3099(k)(3)</td>
</tr>
<tr>
<td><strong>Powered Platforms</strong></td>
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<tr>
<td>Written emergency plan</td>
<td>Most recent version</td>
<td>8 CCR 3292(d) &amp; 3294(i)</td>
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<tr>
<td>Written records of inspections &amp; tests</td>
<td>Most recent version</td>
<td>8 CCR 3296(b)(2), (c)(2), (e)(5)</td>
</tr>
<tr>
<td>Written work procedures</td>
<td>Most recent version</td>
<td>8 CCR 3298(a)(4)</td>
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<tr>
<td>Written training records</td>
<td>Most recent version</td>
<td>8 CCR 3298(a)(5)</td>
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<tr>
<td><strong>Pressure Vessels</strong></td>
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<tr>
<td>Pressure Vessel Permits</td>
<td>Most recent version (on unit)</td>
<td>8 CCR 461(c) &amp; 780(c)</td>
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<tr>
<td><strong>Welding</strong></td>
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<tr>
<td>Fire prevention &amp; suppression procedures</td>
<td>Most recent version</td>
<td>8 CCR 4848</td>
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**TOXIC EXPOSURE RECORDS**

<table>
<thead>
<tr>
<th>Record Type</th>
<th>Retention Period</th>
<th>Code</th>
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<tbody>
<tr>
<td>Employee Medical Records</td>
<td>30 years after termination</td>
<td>8 CCR 3204</td>
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**OTHER RECORDS**

<table>
<thead>
<tr>
<th>Record Type</th>
<th>Retention Period</th>
<th>Code</th>
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<tbody>
<tr>
<td>Registered Research Facility Permit</td>
<td>Until revoked or returned to USDA</td>
<td>UC Disposition Schedule</td>
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