

**Research and Grant Records in the UT Health Science Center San Antonio Records Retention Schedule**

<u>Record Series Item No.</u>	<u>Agency Item No.</u>	<u>Dept</u>	<u>Record Series Title</u>	<u>Retention</u>	<u>Security</u>	<u>Archival</u>	<u>Vital</u>	<u>Remarks</u>
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***Administrative Records – General***

1.1	400	DE	Experiments and Tests.	AV	O			For medical research involving human subjects see section on Medical - Dental Patient Records, record on "Medical Research Findings" (Agency Item Number 87). For diagnostic tests used in patient care see record on "Clinical Laboratory Records and Materials" [Agency Item Number 507].
1.1	443	RE	University Research Council Minutes.	6	O			Formerly was the Executive Research Committee. Minutes for Executive Research Committee should also be kept for 6 years.
1.1	460	RE	Inquiries or Investigations of Allegations of Misconduct or Research Misconduct. Includes written reports and all statements, data, or other evidence considered during the inquiry. Also includes minutes of Conflict of Interest Committee..	AC+7	C			AC = Completion of the case or if the Office of Research Integrity (ORI) has advised the institution in writing that it no longer needs to retain the records. For committee minutes, AC = date of committee meeting. Documentation shall be provided to the authorized sponsoring agency upon request. UTHSCSA Handbook of Operating Procedures policy 7.6.1.

***Personnel Records – Administration***

3.3	133	OSP, DE	Time and Effort Report. A record certifying the percentage of time worked on a sponsored project during a particular reporting period.	FE+7	O			Records are kept in electronic format in online Effort Reporting system. Departments keep hard copy of certification record that faculty complete. Beginning with March - August 2004 certification period, department administrator, rather than faculty, enter data.
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### *Fiscal Records - Worksheets, Detail Information on Financial Event or Transaction*

4.1	404	DE	Prior Approval Forms. Forms used to obtain advance approval for payment prior to the contact finalization or engagement of (1) consultants and (2) persons other than employees (except for patients in research studies and new employee moving expenses).	FE+3	O			CAUTION: Departments should keep records for Grant accounts for the length of the grant plus 3 years, or the length of time specified by the granting agency, whichever is greater.
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### *Fiscal Records - Other Fiscal*

4.7	132	OSP	Indirect Cost Calculations. Data gathered from departments regarding expenses from a particular budget that cannot be included on an indirect cost proposal. The records series may also include data gathered from departments about the allocation of staff time for various activities -- research, instruction, administration, etc.	FE+7	O			Policy based on Federal Office of Management and budget (OMB) Circular A-21
4.7	505	AC, DE	Non-federal Grant Records (Sponsored Grants and Contracts) - Fiscal Records. This records series consists of fiscal records for grants and other sponsored contracts that have been awarded by non-federal agencies.	AC+3	O			AC = end of grant. Internal Audit will expect departments to provide records in case of an audit.
4.7.008	388	AC, DE	Federal Grant Records (Sponsored Grants & Contracts) - Fiscal Records. This records series consists of fiscal records for grants and contracts that have been awarded by federal agencies.	AC+6	O			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local governments (The Common Rule) as stated in OMB circular A-21. Retention reflects UTHSCSA practice. CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate retention period. Internal Audit will expect departments to provide records in case of an audit.

### *Support Services Records – Risk Management*

5.4	425	EN	Radioactive Drug Research Committee Minutes and Annual Reports.	PM	O			Mandated by FDA.
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### *Grant Records*

7.1	130	DE	Grants Records - Grants which include clinical trials/drug studies. This records series consists of research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: case history records, case reports, study protocol and amendments, patient care data, objectives and purpose of the study, selection criteria, clinical procedures, FDA forms, serious adverse events reports, study design and other documentation relating to study protocols, pharmaceutical studies, findings, research papers, and series adverse events reports.	AC+3	O			AC = After completion and upon receipt of notice of new drug application approval for the indication being investigated or the date on which the study is completed, terminated, or discontinued if study does not result in submission of application for research or marketing permit. 21 CFR 312.57. Includes both federal and non-federal grants and sponsored agreements except for financial records - SEE 4.7.008 # 388. Departments may keep text portions of grants as long as they are deemed administratively valuable.
7.1	131	OSP	Grants, Federal and Other Federal Sponsored Agreements. May include but is not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), reports - including final report, debarment certifications, deposit requests, human subjects letters to NIH (National Institute of Health), joint appointment memorandums of understanding for faculty, NIH modular grant internal use documents, IRB (Institutional Review Board) clinical study or sponsored research agreements, other grant documents.	AC+5	O			AC = Terms of Grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with guidelines of grant or contract. Federal grant records should comply with uniform administrative requirements for grants and cooperative agreement to state and local governments. Departments may keep text portions of grants as long as they are deemed administratively valuable.
7.1	132	OSP	Indirect Cost Calculations.	AC+5	O			Format is electronic and paper.
7.1	199	LA	Certificate of Veterinary Inspection.	AC+3	O			
7.1	200	LA	Disposition or Transport of Animals Forms. Includes APHIS (Animal, Plant and Health Inspection Services) Form 7020 and Laboratory Animal Resources form Request for Transfer of Experimental Animals.	AC+3	O			

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7.1	201	LA	Patient Pet Records. Medical records for care of privately owned animals treated at the university, not research animals owned by the university.	AC+3	O			
7.1	202	LA	Research Animal Health Records. This records series documents care of university owned research animals. This series may include but not be limited to investigator, vendor, protocol, and location information.	AC+3	O			
7.1	203	LA	USDA Animal Tags.	AC+1	O			
7.1	204	LA	USDA Inspection Reports.	3	O			Changed category from LAR to 7.1.
7.1	205	LA	USDA Report of Acquisition.	AC+3				
7.1	370	OSP	Disclosure Statements. Information provided by faculty on conflicts of interest or commitment that might impair objectivity when designing, conducting or reporting research or other scholarly activity. Also includes Conflict of Interest forms.	7	C			<b>Remarks:</b> Disclosure Statements, other records, and information submitted by a Faculty Member will be maintained confidentially, except as specified by the UTHSCSA Handbook of Operating Procedures (HOP), policy 7.7.1. Retention period required by HOP 7.7.1.
7.1	376	OSP	Grants, Non-Federal and Other Non-Federal Sponsored Agreements. May include but is not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), reports - including final report, etc.	AC+3	O			AC = Terms of Grant. Includes Grants Management deposit requests, human subjects letters to NIH (National Institute of Health), IRB (Institutional Review Board) clinical study or sponsored research agreements, other grant documents. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with guidelines of grant or contract. Departments may keep text portions of grants as long as they are deemed administratively valuable.

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7.1	377	OSP	Grants and Contract Proposals (Not Awarded). This records series consists of grants from federal and non-federal agencies and other sponsored grants and contracts that have been applied for but not awarded. Includes human subjects letters to NIH (National Institute of Health), joint appointment memorandums of understanding for faculty, NIH modular grant internal use documents, other grant documents.	AC+1	O			AC = Date of notification of non-funding.
7.1	378	OSP	Cancelled Drug Studies. Includes Office of Sponsored Programs deposit requests, human subjects letters to NIH (National Institute of Health), joint appointment memorandums of understanding for faculty, IRB (Institutional Review Board) clinical study or sponsored research agreements, other grant documents.	AC+1	O			AC = Date of cancellation..
7.1	433	IRB, DE	Human Research Protocols.	AC+6	C			AC= Inactivation of protocol. IRB must keep Human Research Protocol files for 6 years after inactivation to satisfy HIPAA requirements. Departments and Committees should keep copies of the protocols they use as IRB does not receive all updates and does not supply copies to other departments. Departments should keep records as long as they keep the records for the associated grant. For investigational devices, the FDA and DHHS require that Investigators or sponsors shall maintain the records for AC+2 years, where AC = the latter of the following two dates: the date on which the investigation is terminated or completed, or the date that the records no longer are required for purposes of supporting a premarket approval application or a notice of completion of a product development protocol.

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7.1	540	DE	Research Findings - Non-medical.	AV	O			Records may be paper or electronic. CAUTION: For federally or privately funded grants or contracts, departments should check with the sponsoring agency as to the retention schedule if it is not written in the grant or contract. SEE #87 under Medical-Dental Patient Records for medical research.
7.1	643	DE	Applications for Internal Research Support Funds - Denied. A record of unawarded applications for faculty and student research support funds established within a School or department. May include applications for funding from all internal institutional grant programs, departmental research funds, etc. Records may include applications, proposals, correspondence, etc.	AC+5	O			AC = After notification.

### *Medical-Dental/Patient/Records*

8.1	87	DE	Medical Research Findings (excluding published works). Research Participant Records.	AV	C			Participant records are separate from the medical record. CAUTION: For federally or privately funded grants or contracts, departments should check with the sponsoring agency as to the retention schedule if it is not written in the grant or contract. SEE ALSO section on Medical Services/Research and Development for " Grants Records - Grants which include clinical trials/drug studies." (Agency Item Number 130).
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8.1	467	DE	Consent Forms for Research – Adults: A record of permission supplied by adult subjects to participant in a research program.	AC+10	C			AC = last contact with subject. CAUTION: For privately funded grants or contracts, departments should check with the sponsoring agency as to the retention schedule if it is not written in the grant or contract. SEE ALSO section on Medical Services/Research and Development for " Grants Records - Grants which include clinical trials/drug studies." (Agency Item Number 130).
8.1	468	DE	Consent Forms for Research – Minors: A record of permission granted by parent or guardian for children to participate in a research program.	AC+10	C			AC = last contact with subject. For pediatric patients, keep AC+10 or until age 21, whichever is longer. CAUTION: For federally or privately funded grants or contracts, departments should check with the sponsoring agency as to the retention schedule if it is not written in the grant or contract. SEE ALSO section on Medical Services/Research and Development for " Grants Records - Grants which include clinical trials/drug studies." (Agency Item Number 130).
8.1	512	CL, DS	Consent for Photography.	US	C			May be filed with patient medical record or with Consent Form for Research, as appropriate.
8.1	513	CL, DS	Patient Authorization for Release of Health Records.	US	C			May be filed with patient medical record or Consent Form for Research, as appropriate.