
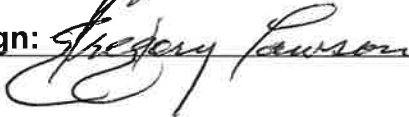




OFFICE OF LABORATORY ANIMAL CARE

Working Instructions

WIN Number:	712	USDA Covered Species Medical Record Retention	Revision #:	0
Date Effective:	12/11/23		Supersedes:	0

Author(s):	Jennifer Frohlich	Sign:		Date:	12/8/23
Director:	Dr. Gregory Lawson	Sign:		Date:	12-8-2023

PROCEDURE

All work instructions must be demonstrated by the trainer and performed by the trainee.

1. Clinical Animal Medical Record Maintenance/Storage
 - a. Maintain animal medical records within the designated file cabinet(s) in the OLAC office at the end of a study, or after the individual animal has been euthanized or adopted to a private owner.
 - b. Records are organized by species, PI, then by the date when records will be destroyed. The date when records will be destroyed is determined by the dates an AUP is active (see #2 below).
 - c. When an AUP is renewed every 3 years, create a new folder labeled "Current AUP", with the dates active and the date that records will be destroyed.
2. Clinical Animal Medical Record Retention
 - a. Medical records must be kept for at least 3 years after the AUP expires or otherwise becomes inactive.
 - b. To find the active date(s) of an AUP, access it on eProtocol (berkeley.eprotocol.edu)
 - Click on the AUP to open it
 - On the left-hand menu, click on "Event History"
 - Find the "Approval Letter" hyperlink on the right-hand column.
 - This will pull up a pdf of the approval letter of the AUP which lists the dates that AUP is active (Note: there may be several versions of the AUP based on how many 3-year renewals it has undergone.
 - Make sure the approval letter applies to the most current AUP version)

- c. To determine when records should be destroyed:
- Find the date that the animal was euthanized or adopted (date of disposition).
 - Match the date of disposition with the AUP version that was active at the time of disposition.
 - Add 3 years to the date of expiration of that AUP to get the date of record destruction.
 - Example: An animal is euthanized in Feb. 2010, the AUP was active from Feb. 2009 to Jan. 2012, then the records are kept until Jan. 2015.
- d. Keep records longer than 3 years IF:
- Necessary to comply with any applicable Federal, State, or local law
 - The APHIS administrator notifies OLAC/ACUC in writing that specified records must be retained pending completion of an investigation or proceeding and held until their disposition is authorized.
- e. If the animal is placed with another institution at the end of a study, the clinical records will go with that specific animal and will not be destroyed.
- Those records then become the property of the new institution and are not subject to FOIA at UCB.
3. Record Disposition:
- a. Shred records at the end of the retention period.

REFERENCE DOCUMENTS

- ACLAM Government Regulatory Affairs Committee (GRAC): Public Statements: Medical Records for Animals Used in Research, Teaching, and Testing, 2004.
- APHIS inspection guide: 2.35(f)

REVISION HISTORY			
REVISION NUMBER	AUTHOR(S)	EFFECTIVE DATE	REVISION(S)