

STANDARD OPERATING PROCEDURES
DIVISION OF COMPARATIVE MEDICINE
UNIVERSITY OF SOUTH FLORIDA

SOP#: 010.21

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TITLE: Handling, Storage, and Retrieval of Records and Data
SCOPE: All Animal Program Personnel
RESPONSIBILITY: Directors, Facility Managers, Veterinarians, All Animal Program Personnel
PURPOSE: To Outline the Proper Practices Which Govern Record and Data Handling, Storage, and Retrieval

I. PURPOSE

1. The following procedures are followed to ensure the identity, integrity, and expedient retrieval of all materials that document program activities.
2. These materials may include, but are not limited to, animal medical records for regulated species, IACUC semi-annual inspection reports, USDA inspection reports, USDA annual reports, USDA registrations, OPRR/PHS assurance, AAALAC program description, AAALAC findings and communications, DEA records, animal care-related records, such as room status sheets, health and environmental concern forms, autoclave, cage wash and refrigerator monitoring logs, and instrument and equipment calibration records.

II. RESPONSIBILITY

1. All program staff contributes to the proper handling, storage and retention of all materials, reports, data, and findings associated with program-wide issues.

III. PROCEDURES

A. General Procedures

1. **Facility Managers are responsible** for retaining the following records from the facility they manage for a **period of 6 months**:
 - a. *Animal Health and Environmental Concern Sheets* (CMDC #077)
 - b. *Cagewash Temperature Monitoring Sheets* (CMDC #081)
 - c. *Refrigerator/Freezer Temperature Monitoring Sheets* (CMDC #020)
 - d. *Food & Bedding Room Temperature Sheets* (CMDC #082)
 - e. *Autoclave Monitoring Records* (CMDC #121)
 - f. *Rodent Medical Records* for non-regulated species (CMDC #139)
 - g. *Pest Control Records*
 - h. *Rooms Status Sheets* (e.g., CMDC #041)
 - i. *Sanitation Efficacy Logs* (e.g., AccuPoint®)
 - j. *Bioquell HPV Decontamination Records*
 - k. *Enrichment Records* (CMDCs #177, #189, #190, #191)
 - l. *Progress Notes* (for **non-regulated** species CMDC #013)
 - m. *Veterinary Clinical Notes* (CMDC #057)
 - n. *Animal Concern Forms* (CMDC #155)
 - o. *Thermometer/Hygrometer Calibration Record* (CMDC #023)
 - p. *Vehicle Temperature/Sanitation Log* (CMDC #249)

2. **Facility Managers are responsible** for retaining records for their facility's in-house equipment certifications until the next date of recertification.
3. The Office Manager is responsible for maintaining staff training records in the Comparative Medicine administrative office.
 - a. CM employees forward AALAS Learning Library Certificates of completion and the associated "In-person Training" Certificates to the Office Manager via Compmed@usf.edu to be maintained in the employees personnel file.
 - b. Trainers forward confirmation of staff proficiencies in skills to the Office Manager in an email to Compmed@usf.edu
 - c. The Office Manager documents the staffs didactic, in-person training, and skill proficiency on **CMDC #250 Comparative Medicine Staff Documented Training and Skills Proficiency** and maintains this document in each employee's personnel file.
 - d. The Office Manager also documents staff skill proficiencies on **CMDC #259 Proficient Comparative Medicine Staff** and provides this information to facility managers as requested.
4. Facility managers are responsible for submitting Sanitation Efficacy Logs (i.e. Neogen Accupoint) quarterly and Bioquell HPV Decontamination Records monthly following decontamination procedures to the Assistant Director. The Assistant Director maintains a copy of these records electronically for a period of 3 years.
5. **The Assistant Director is responsible** for maintaining the following records/reports for the time indicated.
 - a. **USDA annual reports** – 3 years
 - b. **USDA registration** – 3 years
 - c. **OLAW/PHS assurance** – 4 years
 - d. **AAALAC program description** – renewed every 3 years
 - e. **AAALAC findings and communications** – 3 years from date of resolution.
6. The **Veterinary Clinical Notes** (CMDC #057) and **veterinary Animal Health Concerns Forms** (CMDC # 155) are maintained by the veterinary staff and retained for a period of at least 6 months by the Facility Manager.
7. **The Assistant Director is responsible for maintaining DEA records** to include inventory and other records required by **21 CFR Parts 1300-1399** to be kept by the registrant and be available, **for at least 2 years** from the date of such inventory or records, for inspection and copying by authorized employees of the DEA.
8. **Research Integrity & Compliance is responsible for maintaining all records relating to IACUC** applications, proposals, and proposed significant changes in ongoing activities reviewed and approved by the IACUC, IACUC meeting minutes and records of deliberation are held for **3 years after the completion of the activity**.
9. Records of unsuccessful **compatibility testing** for an individually housed social animal (i.e., a compatible cage-mate cannot be found) are maintained in the housing **Room Log Book**. Compatibility records may be disposed of after the final disposition of the animal.
10. Facility Managers are responsible for maintaining the **animal medical records and per diem sheets** for all USDA-regulated species at their respective facilities until the final disposition of the animal (e.g., deceased, adopted, or relocated).

11. Animal Medical Records are maintained as required by the ***Animal Welfare Regulations, Part 2, Subpart C, Section 2.35b***– for three (3) years from completion of the study (i.e., IACUC protocol closure).

B. Archival of Animal Medical Records and Per Diems

1. **USDA regulated animal medical records are maintained and archived by federal fiscal year on the private shared drive (P)** in a Portable Document Format (PDF).
2. At the end of each month and prior to the 15th of the subsequent month, the facility manager ensures the records are complete and then scans the documents to their respective individual management area folder in the “KonicaMinoltaShared” folder in private shared drive (P).
3. Upon completing the document scan, the Facility Manager reviews the scanned files to ensure they are complete, legible, and properly oriented, and when confirmed, names the scanned document.
 - a. Scanned animal medical records for nonrodent USDA species are identified with the animal’s unique intramural USF identification number (assigned upon arrival and described in ***SOP #015 Animal Identification***).
 - b. Scanned animal medical records for USDA rodent species are identified with either the animal’s unique intramural USF identification number or may be identified and maintained as batch records.
 - c. Paper copies of scanned documents are maintained in the College of Medicine (COM) office MDC 1034 until the veterinarians have ensured the scanned documents are complete and accurate.
4. Beginning on the 15th and prior to the 30th of the subsequent month, clinical veterinarians will compare the scanned documents with paper copies, and when deemed accurate, move the electronic PDF copies into a *Medical Record* sub-folder in the appropriate species folder within the current federal year folder. At this time the paper copies of the scanned documents are shredded.
5. For annual reporting purposes of regulated species, the facility manager will scan the completed **September Per Diem sheets** into the federal fiscal year folder within the “KonicaMinoltaShared” folder annually, prior to the end of October.
6. The Fiscal & Business Specialist maintains the ***Animal Identification Log*** for regulated species and scans this completed document into each regulated species folder within the federal fiscal year folder annually, prior to the end of October.
7. Beginning the 1st and prior to the 15th of November each year, the Assistant Directors will ensure the federal year folder is complete.
8. The completed federal year folder is copied to disc and maintained in the CM administrative office MDC 1047.

Approved:

Date: