
Records Management

This retention schedule is authorized under Policy 5.21 Records Management.

1. This policy applies to all employees of Emory University and Emory Healthcare, as well as contractors who conduct business for or on behalf of Emory, and those who create, receive, or retain Emory's records. Any recorded information, regardless of media, characteristics, physical form, storage location, or means of transmission, is considered a record when it is relevant to Emory's legal obligations or business.
2. Each department or office will maintain and dispose of records in compliance with Emory's retention schedule. This schedule supersedes previously approved applicable schedules.
3. Records should not be maintained past the end of their stated retention unless involved in current litigation, investigation, or audit. All known audits, investigations, or court cases involving the listed records must be resolved before the records can be destroyed.
4. The retention schedule applies to all records, regardless of format. Records must be accessible throughout their retention period in analog or digital format.
5. Departments and offices will destroy records that have not been deemed permanent in the manner identified by the retention schedule. Confidential paper must be shredded; electronic records must be made unreadable by being overwritten or the storage media being physically destroyed. Record-keeping systems must be capable of the complete deletion of records; it is not sufficient to take information off-line.
6. Departments and offices will routinely transfer records with continuing and enduring value, as identified on the retention schedule, to the University Archives.
7. The heads of departments or offices are responsible for ensuring that procedures within their area of responsibility meet the requirements of Emory's records management program relative to record identification, control, maintenance, storage, and disposition. All employees are responsible for managing the records in their possession and in compliance with this schedule.

Title Body Donor Program: Donated

Description This series documents the donation of cadavers to Emory. This series may include, but is not limited to: registration record, death certificates, and cremation documentation.

Retention Permanent

Disposition Records ineligible for destruction, but eligible for transfer to Woodruff Health Sciences Center Library.

Citations

Title Body Donor Program: Not Donated

Description This series documents the registration of body donors who do not ultimately donate their cadaver to Emory. This series may include, but is not limited to: registration record.

Retention Retain 3 years after death of prospective donor.

Disposition Confidential destruction required

Citations

Title Consent Forms: Minors

Description This series documents permission granted by a parent or guardian for a minor to participate in a research program. This series may include, but is not limited to: consent form and correspondence.

Retention Retain 25 years after submission of final expenditure report.

Disposition Confidential destruction required

Citations

Title Drug Inventory: Controlled Substances

Description This series documents the order, procurement, use, inventory, and disposition of controlled substances for use in research and teaching. This series may include, but is not limited to: order logs, receipts, use logs, and disposition instructions.

Retention Retain 3 years from final disposition of drug.

Disposition Confidential destruction required

Citations Ga. Comp. R. & Regs. r. 480-7-.04 (8)(b); O.C.G.A. 16-13-39;

Title Drug Inventory: Dangerous Drugs

Description This series documents the order, procurement, use, inventory, and disposition of dangerous drugs for use in research and teaching. This series may include, but is not limited to: order logs, receipts, use logs, and disposition instructions.

Retention Retain 2 years from final disposition of drug.

Disposition Confidential destruction required

Citations 21 CFR 1304.04 (a); O.C.G.A. 16-13-72 (5),(6);

Title Intellectual Property Records

Description This series documents activity relating to the protection and licensing of Emory's intellectual property, including copyright and patent records. This series may include, but is not limited to: patent applications, invention assignment, licensing agreements, disclosure forms, patent transfers, and marketing file.

Retention Permanent

Disposition Records are ineligible for destruction and ineligible for transfer to University Archives.

Citations

Title Research Data: Animals

Description This series documents care and use of animals for research purposes. This series may include, but is not limited to: notes on animal behavior, physical examinations, observed abnormalities, diagnostic test results, research interventions, treatments prescribed and administered, surgical procedures performed, and necropsy.

Retention Retain 3 years after end of activity.

Disposition Confidential destruction required

Citations 9 CFR 2.35 (a); 9 CFR 2.35 (b),(c),(e); 9 CFR 2.35 (f);

Title Research Data: Animals - Biosafety Level 3

Description This series documents the use and disposal of animals normally categorized as, but not limited to, cattle, swine, sheep, goats, horses, and poultry (not including mice and rats), used in Biosafety Levels 3 research.

Retention Permanent

Disposition Records are ineligible for destruction and ineligible for transfer to University Archives.

Citations

Title Research Data: Humans

Description This series documents clinical and behavioral research activities involving human subjects. This series may include, but is not limited to: consent forms, detail of tests, test results, evaluations, notebooks, binders, and journal record.

Retention Retain a minimum of 6 years from submission of the final expenditure report or length of time stated in contract, whichever is longer

Disposition Confidential destruction required

Citations

Title Research Misconduct Records

Description This series documents accusations of misconduct relating to research activities brought by or against faculty or students. This series may include, but is not limited to: accusation statements and inquiry committee findings.

Retention Retain a) 7 years after inquiry concludes for federally-sponsored research or b) 3 years after inquiry concludes for non-federally-sponsored research.

Disposition Confidential destruction required

Citations 42 CFR 93.317 (b);

Title Research Records: Behavioral

<i>Description</i>	This series documents research involving human subjects which generates data by means of questionnaires, observation, studies of existing records, or experimental designs involving exposure to some type of stimulus or intervention. This series may include, but is not limited to: study design, protocol, purpose, and amendments; patient selection criteria; patient care data; adverse event reports; and case report.
<i>Retention</i>	Retain a minimum of 6 years after submission of final report.
<i>Disposition</i>	Confidential destruction required
<i>Citations</i>	45 CFR 46.115 (b)(s1a); 45 CFR 46.115 (b)(s1b);

<i>Title</i>	Research Records: Clinical Trials
<i>Description</i>	This series documents interventional and and observational clinical research conducted at Emory. This series may include, but is not limited to: study design, protocol, purpose, and amendments; patient selection criteria; clinical procedures; patient care data; adverse event reports; history records; and case report.
<i>Retention</i>	Retain a minimum of 6 years from close of research or length of time required in contract, whichever is longer
<i>Disposition</i>	Confidential destruction required
<i>Citations</i>	21 CFR 312.62 (c); O.C.G.A. 9-3-24;

<i>Title</i>	Research Review Boards, Committees, and Councils
<i>Description</i>	This series documents the activities of Emory committees, councils, and boards that review, approve, and monitor research, such as the Institutional Review Board (IRB), Institutional Animal Care and Use Committee (IACUC), and Institutional Biosafety Committee (RDNA and Synthetic Nucleic Acid Research). This series may include, but is not limited to: applications for research support, meeting agendas and minutes, funding summaries, award letters, signed consent records, sample questionnaires or surveys, copies of grant proposals, and final research reports.
<i>Retention</i>	Retain a minimum of 6 years from close of research or length of time required in contract, whichever is longer
<i>Disposition</i>	Confidential destruction required
<i>Citations</i>	21 CFR 56.115; 9 CFR 2.35 (a); 9 CFR 2.35 (b),(c),(e); 9 CFR 2.35 (f);

<i>Title</i>	Sponsored Studies
<i>Description</i>	This series documents the award and administration of research funding to Emory by third-party commercial companies and non-commercial entities such as the federal government, non-profit organizations, and foundations. This series may include, but is not limited to: proposals, contracts, agreements, budgets, and effort certificates.

Retention Retain a minimum of 6 years after submission of final project report

Disposition Confidential destruction required

Citations 34 CFR 74.53 (b)(1); 34 CFR 74.53 (b),(b)(2);
