



South Texas Veterans Health Care System

Inactive Protocol Records

Fact Sheet

BACKGROUND: The Archivist of the United States has signed and approved a Records Schedule for the Office of Research and Development (ORD) records. Per the newly approved ORD Records schedule, “Research Investigator’s Files” (protocol records), are to be maintained for six years after protocol inactivation and then dispositioned. The six-year retention time applies to all research investigators’ files, whether paper or electronic.

Currently, STVHCS Inactive Protocol Paper Records are to be transferred to an off-site records storage facility for long-term storage. STVHCS utilizes the VHA Records Center & Vault in Neosho, Missouri and the NARA Federal Records Centers, which are both 36 CFR 1234 Subpart B compliant, for federal records storage. These facilities have specific boxing/shipping requirements which must be followed.

Once a protocol becomes inactive and the protocol paper records are no longer necessary on-site for reference purposes, the records are to be prepared for long-term storage until they meet retention and qualify for destruction. The Investigator (or designee) is responsible for:

STEP 1: PREPARING INACTIVE RECORDS FOR STORAGE:

- Contact the STVHCS R&D office to receive NARA-approved records storage boxes for long-term storage/shipment. **Moving/copy paper boxes are not acceptable!**
- Approved Box# NSN 8115-00-117-8249 will be utilized by STVHCS for records storage/shipment.
- **For further information regarding Inactive Protocol Electronic records storage contact the STVHCS R&D office.**

STEP 2: FILLING OUT VA FORM 7468 FOR EACH BOX (See Attachment):

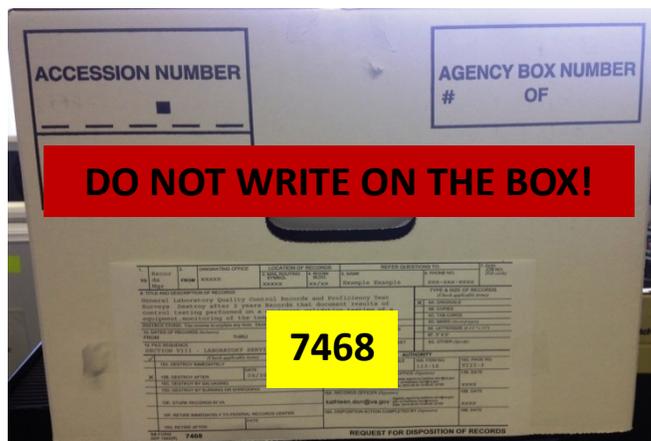
- **Name of Investigator(s):**
- **IRB #/Project #**
- **Protocol name:**
- **Date Study Closed:**
- **Box Contents:** Be as detailed as possible - The box inventory is the main finding aid used for future retrieval of a specific box from the off-site storage facility, if necessary.

**** VA7468 can also be downloaded from VA Forms & Publications: <http://vaww.va.gov/vaforms/>**

STEP 3: PACKING INACTIVE RECORDS FOR STORAGE:

- **Place records in boxes by Protocol and Study End Date – Do not mix protocols.**
- **Do not over pack the boxes.** Leave approximately one inch of space in each box to allow room to use box handles.
- Cross-fold the box flaps - Do not seal the box with any tape.
- Attach VA Form 7468 to the front of each box with Scotch tape (not packing tape).
- Ensure box contents are listed (See Below).
- Contact STVHCS Research Service to arrange for delivery of boxes for on-site storage to prepare for shipment.

NOTE: Please ensure records are inactive prior to boxing and shipment! Records will be approved for recall from the long-term storage facility on a case by case basis by Research Service and the STVHCS Records Manager.



STEP 4: RECORD SHIPMENT: Once the boxes with VA Form 7468 attached are received from the investigator (or designee), Research Service will prepare and palletize the records for transfer to the off-site storage location, thru the STVHCS Records Manager.

Prior to transfer, the R&D office will ensure the information from the VA Form 7468 provided by the investigator is entered into the off-site records storage database which is maintained by Research.

Box inventory listings and shipping information are maintained electronically by Research Service and the STVHCS Records Manager, in order to retrieve protocol records, if necessary, and for future dispositioning of the records per VHA Records Control Schedule 10-1, once retention times are scheduled by NARA.

FOR MORE INFORMATION, PLEASE CONTACT:

Dennis Bryan, Research Administrative Officer, Ext. 15538

OR

Judy Berdecia, Research Budget Assistant, Ext. 15550

STVHCS RECORDS MANAGER

Deborah Loeffler, Ext. 15220

References:

ORD Guidance on VA Research Records and the Impact of the Federal Records Act, March 2013

VHA Directive 6300

VA Handbook 6300.1

VHA Records Control Schedule 10-1

STVHCS Records Management Policy, #136-14-37

STVHCS Research Records Management SOP, #136RM-14-11

ATTACHMENT:

1. RESEA TO RCH	2. FROM	ORIGINATING OFFICE	LOCATION OF RECORDS		REFER QUESTIONS TO		7. DOD JOB NO. (Tab cards)
			3. MAIL ROUTING SYMBOL	4. ROOM/ BLDG.	5. NAME	6. PHONE NO.	
8. TITLE AND DESCRIPTION OF RECORDS						TYPE & SIZE OF RECORDS (Check applicable items)	
IRB#/Protocol: Date Study Closed: Box Contents:						9A. ORIGINALS	
INSTRUCTIONS: Use reverse to explain any item. Identify each item by number.						9B. COPIES	
10. DATES OF RECORDS (Inclusive) FROM THRU				11. NO. AND TYPE OF CONTAINERS		9C. TAB CARDS	
12. FILE SEQUENCE				13. CUBIC FEET	14. LINEAR FEET	9D. MIXED (Several types)	
						9E. LETTERSIZE (8 1/2" x 11")	
						9F. 3" X 5"	
						9G. OTHER (Specify)	
✓ (Check applicable items)				AUTHORITY			
15A. DESTROY IMMEDIATELY			16A. RECORDS CONTROL SCHEDULE UNSCHEDULED		16B. ITEM NO.	16C. PAGE NO.	
15B. DESTROY AFTER		DATE	17A. APPROVAL OF ORIGINATING OFFICE (Signature)				17B. DATE
15C. DESTROY BY SALVAGING			18A. RECORDS OFFICER (Signature)				18B. DATE
15D. DESTROY BY BURNING OR SHREDDING			19A. DISPOSITION ACTION COMPLETED BY (Signature)				19B. DATE
15E. STORE RECORDS IN VA							
X 15F. RETIRE IMMEDIATELY TO FEDERAL RECORDS CENTER							
15G. RETIRE AFTER		DATE					
VA FORM SEP 1992(R) 7468				REQUEST FOR DISPOSITION OF RECORDS			