California Institute of Technology

RECORDS RETENTION SCHEDULE

TABLE OF CONTENTS

HOW TO USE AND INTERPRET THE RECORDS RETENTION SCHEDULE

Review of the Records Retention Schedule
1. Select the Administrative & Common Records List and your department specific records in the Retention Schedule to determine what records are retained, sent to storage, or destroyed.

2. The Administrative & Common Records List contains common records stored by all departments at Caltech. They are typically copies of records that have a shorter retention period. The majority of a department's records that are "administrative & common" can be destroyed within one year.

How to Use the Schedule
The Records Retention Schedule is to be used as a guideline for how long to retain records. When reviewing your files you may:

1. Retain the files in your office because the retention period has not been satisfied and you have space in your office to store the records.
<div align="center">OR</div>
2. Place files that are considered inactive into a box for storage.
   - Inactive files are records that need to be retained due to legal or administrative requirements per the Records Retention Schedule but do not need to be stored in your office.
<div align="center">OR</div>
3. Destroy records because they have satisfied the legal or administrative requirements per the Records Retention Schedule.

Destruction of Records
Files that are to be destroyed should be shredded. You may want to contact a records storage vendor who specializes in document shredding, is bonded, and handles confidential records.

California Institute of Technology
RECORDS RETENTION SCHEDULE

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	ADMINISTRATIVE & COMMON RECORDS	*These records represent copies of records retained by another department, working files and general administrative files that run a department. Every department at Caltech or JPL will have some of these records, but probably not all categories.*					
ADM01	Ad Hoc Reporting	Special analysis that is usually in Excel sliced and diced in various formats		CY+1	--	2	Any Department
ADM02	Articles from Magazines and Newspapers	*Item Discontinued*		--	--	--	N/A
ADM03	Budget – Operating (Copies)	Annual general budget		Act	--	Act	Budget = Permanent JPL Finance = PC
ADM04	Calendars or Daytimers	*Item Discontinued*		--	--	--	N/A
ADM05	Correspondence – General and Chronological File	Includes correspondence written or received of a general nature		WU	--	WU	Any Department or Staff Person
ADM06	Drafts	Retain only final draft in the file after the original signed. Destroy all other draft versions		Act	--	Act	Any Department
ADM07	Email (Messages that do not contain original records)	Inbox and Sent Mail Folder. This email guideline is implemented by individuals		Act		Act	Any Department or Staff Person
ADM08	Expense Reports (Copies)	Completed by employee for reimbursement of expenses incurred on behalf of Caltech		WU	--	WU	Accounting = 7 JPL Finance = PC
ADM09	Fax Transmittal Sheet	*Item Discontinued*		--	--	--	N/A
ADM10	Forms – Blank	Blank forms		SU	--	SU	Any Department or Staff Person
ADM11	Invoice Copies	Copy of invoice that is approved and forwarded to Payment Services for payment		WU	--	WU	Payment Services = 7
ADM12	Logs	Logs events, correspondence, mail delivery, computer logs, etc.		WU	--	WU	Any Department
ADM13	Manuals	All instruction manuals that are step-by-step instructions on how to complete a job function		SU	--	SU	Any Department

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

California Institute of Technology
RECORDS RETENTION SCHEDULE

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
ADM14	Meeting Minutes & Notes	Individual minutes and notes for general team and committee meetings – not Board of Trustees and not faculty meetings		WU	--	WU	Any Department
ADM15	P-Card & All Applicable Documentation	Issued to staff, faculty, and students. Contains expense reports, identifies monthly charges with approval signatures, invoice and receipts for each month		WU		WU	Purchase Services = 7 or AA
ADM16	Personnel Records including Performance Review & Appraisals	Department's copy of a personnel file. When employee terminates, file is forwarded to Human Resources within 30 days		AT	--	AT	Human Resources = AT+7
ADM17	Policies and Procedures	Policies and procedures specific to an area		SU	--	SU	Any Department
ADM18	Presentations and Speeches	Any presentations or speeches made to internal or external groups		Act	--	Act	Any Department or Staff Person
ADM19	Records Retention Box Listing	Summary inventory of the contents in each box that is sent to offsite records retention storage		Perm	--	Perm	Any Department
ADM20	Reference, Research or Resource Materials	Includes vendor brochures, books, or reference materials purchased or received in the mail, and trade association materials		WU	--	WU	Any Department or Staff Person
ADM21	Reports – FYI Informational Status	Miscellaneous reports received from other departments which provide a status point; typically financial or sales		WU	--	WU	Any Department or Staff Person
ADM22	Resumes	*Item Discontinued*		--	--	--	N/A
ADM23	Seminar or Training Materials	Materials received at seminars or training programs		WU	--	WU	Each Department
ADM24	Significant Events	Reports forwarded to managers regarding the status of an organization's activities. References the weekly significant events		WU	--	WU	Any Department
ADM25	Special Projects	Includes any documentation connected with a special project that is not a government or construction project. Data includes correspondence, graphs, statistical data, reports, etc.		LJ+3	--	LJ+3	Any Department or Staff Person

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
ADM26	Timekeeping and Payroll Reporting	Documents hours worked and leave accrued. Payroll retains the official copy		CY	--	1	Payroll = 7
ADM27	Trade Association Files	*Item Discontinued*					
ADM28	Travel Authorizations, Reports and Expenses	Contains requests, authorizations, reimbursements, and other actions related to employee travel. Original retained by Travel Accounting		WU	--	WU	Travel Accounting = 7
ADM29	Vendor Files	*Item Discontinued*					
ADM30	WIC (Web Internal Charges)	Back-up information to support internal charges. Excludes cost transfers		CY+2		3	Any Department
ADM31	Working Files	Contains miscellaneous reports, correspondence, and reference materials to complete a job		Act	--	Act	Any Department

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

California Institute of Technology
RECORDS RETENTION SCHEDULE

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record

ACADEMIC DIVISIONS

Item No.	Records Series Title	Records Series Description	Vital	Active Office	Inactive Storage	Total	Owner Department/ Office of Record
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
DIV01	Agreements and Contracts – General	Division working files include agreements, contracts and support documentation for agreements such as technical services agreements, facilities use agreements, gift agreements, purchase agreements MOUs		Act		Act	Office of Sponsored Research, Procurement Services or Development & Institute Relations
DIV02	Award File	Division working files include pre-award, post-award and sub-award documents for sponsored research, foundation grants and gift awards.		Act		Act	Office of Sponsored Research/Project Accounting or Development & Institute Relations
DIV03	Collaboration Agreements	Division working files include agreements and back-up documentation for MOUs regarding collaborations between faculty, fellow exchanges, and agreements with other universities		EX+5		EX+5	Provost's Office or Academic Division
DIV04	Division Administrative, Financial and General Records	Records include records used to run the division and departments such as copies of budget, expense tracking, payroll and gift records		Act		Act	Academic Division
DIV05	Division Annual Research Publications/Reports	Records include publications such as the Biology Annual Report, ENGenious, etc.		Act	Perm	Perm	Academic Division
DIV06	Division/Department Evaluation Committee Files	Records gathered for an evaluation committee such as an accreditation body		Act		Act	Academic Division
DIV07	Faculty Meeting Minutes	Records include minutes of faculty meetings		CY+9		10	Academic Division
DIV08	Graduate Students – Applicants	Division working files include but are not limited to: applications, letters of recommendations (destroyed at the close of admission), transcripts, etc. The official student records are retained by the GSO		Act		Act	Graduate Studies Office

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

California Institute of Technology
RECORDS RETENTION SCHEDULE

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
DIV09	Graduate Students – Accepted, Enrolled	Division working files including but not limited to: graduate support records such as past admissions, committee meeting notes, recruiting efforts, rotations, teaching assistantships, oral exams, candidacy exams, thesis defenses, etc. (Records should not include letters of recommendation.) The working records are not retained by the Graduate Studies Office, but GSO does retain the official student records		Act		Act	Graduate Studies Office
DIV10	Graduate Students – Visiting Student Researchers & Special Students	Division working files include but are not limited to: CVs, visa requirements, descriptions of research, compensation, etc.		Act		Act	Registrar's Office
DIV11	Guests and Volunteers	Records not retained by HR may include but are not limited to: CVs, disclosures, supervisors, training requirements, access rights, etc.		AT+2		AT+2	Academic Division
DIV12	Historical Division Information	Records may include but are not limited to: pictures, newspaper articles, award information, special Division events, art work, symposia, faculty information, etc. The classification of records as historical is at the discretion of the Division		Act	Perm	Perm	Academic Division
DIV13	Laboratory Safety Program	Records for training completed by the Divisions or laboratories, not EH&S or OLAR. Records may include but are not limited to: safety program descriptions, curricula, training completion records, etc.		AT+7		AT+7	Academic Division
DIV14	Non-Professorial Academic Reviews (Non-Tenure Track)	Records regarding periodic reviews of Affiliates, Visiting Associates, Visitors, Post-doctoral Scholars, Post-doctoral Instructors, Named Instructors, Research Assistant Professors, Research Professors, Senior Faculty Associates, Lecturers, etc.		AT+7		AT+7	Academic Division

Act = Active – Retain while active and still in use　　　　　　　　　EX = Expiration of Contract, Agreement, Lease, Bond or Award　　　　PT = Passes To next department for processing or ownership
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end　　LE = Life of Equipment　　　　　　　　　　　　　　　SU = Superseded (when new copy/revision arrives, destroy old copy)
　　of 7 years, retain until audit is closed　　　　　　　　　LJ = Life of Project　　　　　　　　　　　　　　　WU = While Useful (Short term, 5 minutes up to 1 year)
AT = After Termination of Employee or Separation of Student　　　Perm = Retain permanently　　　　　　　　　　　　　Numerics = Represents number of years
CY = Current Year　　　　　　　　　　　　　　　PC = Destroy 6 years 3 months after close of Prime Contract

| Item No. | Records Series Title | Records Series Description | Vital | Retention | | | Owner Department/ Office of Record |
				Active Office	Inactive Storage	Total	
DIV15	Professional Staff Appointments	Records regarding appointments for Members of the Professional Staff (MPS) and Members of Beckman Institute (MBI)		AT+7		AT+7	Academic Division
DIV16	Professorial Faculty Personnel Records (Tenure Track)	Division working files include but are not limited to: offer letters, start-up package records, promotions, awards, faculty hire reviews, tenure committee process information, tenure reviews, tenure decision letters, letters of reference, tracking of status, annual meetings, tenure denial letters, etc. Originals retained by Provost's Office		AT+7		AT+7	Provost's Office
DIV17	Professorial Searches and Applications	Records may include but are not limited to: advertisements, applications (including CVs, research statements, letters of reference, etc.), recommendations to the Committee, and Chairman's report of the decision. If hired, the file becomes part of the Personnel File		Act+4		Act+4	Academic Division
DIV18	Property/Equipment Files	Division working files include but are not limited to: inventories of equipment and maintenance		Act		Act	Finance or Property Services
DIV19	Recharge and Service Centers	Records may include but are not limited to: time records, chargebacks and working files relating to cost analyses, etc.		Act		Act	Academic Division
DIV20	Seminars, Events & Retreats	Contains records required to develop and present seminars, events and retreats. Records may include but are not limited to: invitations, invitee contact information, date selection, guest information, travel information, seminar titles, budgets, expenses, etc.		Act		Act	Academic Division
DIV21	Visiting Committees	Division working files include Briefing Book and materials presented to Visiting Committee		Act		Act	President's Office

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

California Institute of Technology
RECORDS RETENTION SCHEDULE

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Inactive Storage	Total	Owner Department/ Office of Record
	ATHENAEUM						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
ATH01	Accounts Receivable	Member billings		CY+2	4	7 or AA	Athenaeum
ATH02	Cash Deposit Package	Lists all of the members deposits and back-up documentation to the deposit		CY+6	--	7 or AA	Athenaeum
ATH03	Event/Banquet Contracts	Contains copy of the contract, addendum, and associated correspondence		EX+1	6	EX+7	Athenaeum
ATH04	Hotel Operations Records	Contains hotel folios and billing records. Hard copy can be destroyed after data entry		CY+6	--	7	Athenaeum
ATH05	Hotel Registration Cards	Information about guest registrations		CY+6	--	7	Athenaeum
ATH06	Hotel Status Reports	Reports pulled from electronic systems that shows occupancy, revenue, turn rates, average room rate, etc.		WU	--	WU	Athenaeum
ATH07	Inventory Records	Physical inventory completed annually of food and beverage		CY+2	4	7	Athenaeum
ATH08	Memberships to Athenaeum	Contains application, termination, and changes		CY+2	--	3	Athenaeum
ATH09	Month End Closings	Contains all records required to close the finance books each month such as journal entries, reconciliations, and support documentation		CY+2	4	7 or AA	Athenaeum
ATH10	POS Receipts and Manual Chits	Source documents for entering the Point of Sale data into NorthStar system		CY+1	--	2	Athenaeum
ATH11	Private Events and Catering System	Shows the set-up for the event, what is ordered, how many persons, records payments, etc.		CY+4	--	5	Athenaeum
ATH12	Publicity Collateral	Contains invitations, newsletters, fliers, brochures, etc.		CY+9	--	10	Athenaeum

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	AUDIT SERVICES AND INSTITUTE COMPLIANCE						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
AUD01	Advisory Projects	Contains work papers, project deliverables, and support documentation		CY+6	--	7	ASIC
AUD02	Attorney Client Privilege Projects	Special projects completed at the direction of Office of General Counsel. Contains work papers and report. Retained in office 7 years after completion of project then forwarded to Office of General Counsel	Yes	LJ+7		LJ+7	Office of General Counsel
AUD03	Audit and Compliance Committee Meeting Materials	Original copies of and support for the various documents presented at the A&C Committee meetings. Documents included previous meetings' minutes, ASIC's Annual and Interim reports, external auditor's management report on the Institute's annual financial statements, etc. A complete copy of the mailing is retained by President's Office as part of the Board of Trustees' meeting minute records		CY+7	--	7	President's Office
AUD04	ASIC Reports	Includes ASIC's Annual Report that contains summary information of the year just completed and the plan of work for the next fiscal year; interim reports; ASIC's strategic plan, etc.		CY+6	--	7	ASIC
AUD05	Hotline	Log of information received via e-mail, hard copy or telephone to obtain advice or communicate concerns about potential violations of Institute polices, laws, regulations, unethical behavior, conflicts of interest, actual or suspected fraud, or other improper actions		CY+6	--	7	ASIC
AUD06	Institute Compliance Program	Contains compliance matrix, compliance assessments and assessment updates, and program documentation		CY+6	--	7	ASIC
AUD07	Internal Audits	All work papers supporting the audit; final audit reports		CY+6	--	7	ASIC

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
AUD08	Risk Assessments	Backup support for ASIC's annual risk assessment, used to determine annual plan for upcoming fiscal year. Contains notes from interviews with senior management at JPL and Caltech		CY+6	--	7	ASIC
AUD09	Special Reviews	Completed at the request of a department. Contains special findings discovered during the audit		CY+6		7	ASIC

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

California Institute of Technology
RECORDS RETENTION SCHEDULE

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	FACILITIES						
	ENVIRONMENTAL, HEALTH AND SAFETY (EH&S)						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
FEH01	Air Emissions Report	Annual report to South Coast Air Quality Management District (SCAQMD) under Title 5		CY+4	--	5	EH&S
FEH02	Asbestos Testing	Testing of buildings with potential problems and includes the floor, wall, and ceilings		Perm	--	Perm	EH&S
FEH03	Business Plan	One plan for each building and filed with the City of Pasadena		SU	--	SU	EH&S
FEH04	Calibration Records	Organized by equipment and performed periodically but at least annually		LE+5	--	LE+5	EH&S
FEH05	Committee Records	Contains meeting minutes of Bio Safety Committee, and Radiation Safety Committees	Yes	Perm	--	Perm	EH&S
FEH06	Emergency Preparedness Plan	Step by step plan on what to do in the event of an emergency		SU	--	SU	EH&S
FEH07	Environmental Audit	Documentation gathered in preparation of an audit		SU	--	SU	Audit Services
FEH08	Facilities Inspection	Inspection records of the buildings for radiation, asbestos, lead, and OSHA reportable incidents		Perm	--	Perm	EH&S
FEH09	Fit Testing	Respirator test performed on employees in specific areas. Organized by employee		AT+7	--	AT+7	EH&S
FEH10	Hazardous Waste Manifests	Contains biological, electronic, and medical waste manifests		Perm	--	Perm	EH&S
FEH11	IIPP	Illness Prevention Program for the campus		Life of facility	--	Life of facility	EH&S
FEH12	Incident Investigations	Contains root cause analysis and conducted to avoid future events		Perm	--	Perm	EH&S
FEH13	Leak Tests	Performed on radioactive sources		Perm	--	Perm	EH&S

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

California Institute of Technology
RECORDS RETENTION SCHEDULE

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
FEH14	Measurements	Measurements on fume hoods per Cal OSHA		CY+4	--	5	EH&S
FEH15	Medical Surveillance and Exposure Monitoring Records	Contains records of activities undertaken to ensure a healthy and safe environment for employees, students, and the public. Documentation including but not limited to: employee training and personal monitoring of asbestos workers and animal workers exposed to blood borne pathogen, lead blood levels, respiratory clearance, audiometric readings, annual radiation records, records of area and facility monitoring on asbestos ethylene oxide, lead, carcinogens, and formaldehyde		AT+30	--	AT+30	EH&S
FEH16	OSHA 300 Log	Lists the accidents, days lost, frequency, etc. EH&A retains a copy. Human Resources retains original for 5 years		SU	--	SU	Human Resources
FEH17	Permits	Includes Certified Unified Public Agency (CUPA) permit, Pasadena and Los Angeles County permits, Title 5 permits, EPA permits, underground and aboveground storage tank permits, radioactive materials permit, and radioactive machine registration		SU	--	SU	EH&S
FEH18	Radiation Records	Contains packing slip on any products that contain radioactive materials. Shows measurements, amount of activity, documents if the materials were shipped properly, destination and who signed for the materials. Retain until the audit is closed		AA	--	AA	EH&S
FEH19	Safety Training Curriculum	Contains agenda and PowerPoint presentation		CY+4	--	5	EH&S
FEH20	Safety Training Records	Safety training performed by Environmental, Health, and Safety. Organized by employee. Shows all training that the person received		AT+5	--	AT+5	EH&S

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	**Inactive Storage**	**Total**	
	FACILITIES DESIGN & CONSTRUCTION						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
FDC01	Building and Facility Records Plus Drawings	Background information on each building. Records including but not limited to: construction specifications, building surveys, floor plans, drawings, as-built records, space utilization data, physical descriptions of buildings, vendor and other support documentation		Perm	--	Perm	Design & Construction
FDC02	Certificates of Insurance	Received annually from the prime contractors showing proof of insurance. Reviewed for compliance and then forwarded to Risk Management		PT	--	PT	Risk Management
FDC03	Disability Access Projects	Contains information about the Institute's efforts to make buildings and grounds accessible to persons with disabilities. Records include analyses, studies, plans, reports, opinions, and related correspondence. Retain for life of building plus 3 years		Act+3	--	Act+3	Design & Construction
FDC04	Permits & Applications	Contains federal, state and city regulatory permits, original applications to secure a permit, approvals, licenses, certifications required for planning construction and management of facilities. Also includes completion reports, access and building permits, and certificates of occupancy		SU+5	--	SU+5	Design & Construction
FDC05	Project Construction & Renovation Records	Documentation including but not limited to: bid data, contract, addendums, specifications, change orders, warranties, close out documentation, close out sheet, submittals, etc.		LJ+5	5	LJ+10	Design & Construction

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	FACILITIES FINANCE						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
FFN01	Leases	Building lease, amendments, and related correspondence	Yes	EX+1	6	EX+7	Facilities Finance
FFN02	Project Contract Payments	Contains all financial information regarding payments on capital projects. Retain information until project is completed plus 7 years		LJ+7	--	LJ+7	Facilities Finance

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	FACILITIES GENERAL						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
FGN01	Asbestos Abatement	All records relating to asbestos abatement		Perm	--	Perm	Facilities Management Design & Construction
FGN02	Operations Records	Contains routine facilities management of the operations such as space assignments, supply records, security logs, work requests, service orders, fire alarms, hardware sales, recycling logs, delivery tickets, etc.		CY+2	--	3	Facilities

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	FACILITIES OPERATIONS						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
FOS01	Air and Gas Emissions/Usage	Logs that tracks refrigeration usage, emissions monitoring, AB32 compliance, etc. Available for inspection by Air Quality Management District (AQMD) and California Air Resources Board (CARB)		CY+4	--	5	Facilities Operations & Services
FOS02	Building and Grounds Maintenance	Contains records of maintenance services conducted for Institute buildings including but not limited to: custodial service, ground keepers, work schedules, refuse operations, and building repair. Files may include work orders, maintenance reports, correspondence, and related records.		Act+7	--	Act+7	Facilities Operations & Services
FOS03	Building Key Records a.k.a. Bitting List	Organized by building, by room, by key code. Lists all keys and their unique numbers		Perm	--	Perm	Facilities Operations & Services
FOS04	Equipment Records	Contains specifications, and maintenance performed on the equipment. Retain for life of equipment plus 5 years		LE+5	--	LE+5	Facilities Operations & Services
FOS05	Gasoline and Diesel Usage	Shows all purchases and distribution of petroleum on campus		CY+2		3	Facilities Management
FOS06	Key Inventory	Organized by person. Shows the keys that are assigned to persons		AT	--	AT	Facilities Management
FOS07	Manuals	Operational and Maintenance Manuals received from the contractor		LE	--	LE	Facilities Management
FOS08	Operating Permits	Contains all federal, state, and city regulatory permits required on campus under the direction of Facilities Management such as boiler, all pressure vessels, elevators, etc.		SU+5	--	SU+5	Facilities Management & Design & Construction
FOS09	Physical Inventory of Stock Room	Inventory completed each year of stock room equipment and products		CY+2		3	Facilities Management

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
FOS10	Plant Equipment Operation Logs	Daily, weekly, monthly, and year-end readings on all equipment in the plant such as boilers, co-generation equipment, paint usage that keeps track of all paint used on campus, etc.		CY+4	--	5	Facilities Management
FOS11	Shipping & Receiving Log Books	Various logs that tracks incoming and outgoing deliveries		CY+1	--	2	Facilities Management
FOS12	Shipping Documentation	For outgoing shipments, documentation including but not limited to: invoice, receivers, Bill of Lading, customs records, etc.		CY+2	4	7	Facilities Management
FOS13	Shipping Receipts (also known as Waybills)	Shipping receipts from UPS, FedEx, Air Bourne, etc.		WU	--	WU	Facilities Management
FOS14	Transportation and Vehicle Records	Contains vehicle maintenance and work orders for rentals, maintenance cards, chauffeur trips, service calls, and related correspondence		LE+2	--	LE+2	Facilities Management
FOS15	Underground Storage Tank Record	Shows levels of tank storage and periodic testing		CY+4	--	5	Facilities Management
FOS16	Utility Operations	Contains a record of equipment readings. Includes usage reports, operational reading logs, run-time data, consumption and inspection reports, and related correspondence		CY+2	--	3	Facilities Management
FOS17	Work Orders	Service requests and work order		CY+2		3	Facilities Management

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
   of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	GRAPHICS RESOURCES & MAIL SERVICES						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
FGR01	1412 Daily Accounting Report	Daily record of all mail transactions. Reports cash, money orders, stamp sales, etc. received each day. Subject to audit by the U.S. Postal Service		CY+4	--	5	Graphics & Mail Services
FGR02	Contracts	Contracts for mail services with U.S. Postal Service and FedEx		EX+7	--	EX+7	Graphics & Mail Services
FGR03	Daily Turn-In	Package picked up daily by U.S. Postal Service that contains money orders, receipts, checks, cash, and 1412 Daily Accounting Report		PT	--	PT	U.S. Postal Service
FGR04	FedEx Daily Details Record	Outbound log that lists anything being shipped domestically or internationally via FedEx. Contains details about the package. Form completed by the department customer		CY+4	--	5	Graphics & Mail Services
FGR05	Inbound Logs	Completed for accountable mail that includes packages received from FedEx and U.S. Special Services such as certified mail, registered mail, insured. Person receiving mail (or their agent) signs the log noting acceptance of receipt		CY+2	--	3	Graphics & Mail Services
FGR06	Material Transfer a.k.a. Work Order	Organized by job number. Contains customer name, extension, how services to be paid, printing request that identifies what will be printed		CY+2	--	3	Graphics & Mail Services
FGR07	U.S.P.S. International Shipments	Contains United States Postal Services custom forms that declares what is being shipped		CY+4	--	5	Graphics & Mail Services

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	SECURITY & PARKING						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
FSP01	Annual Report	Reports all required incidents to the Federal Department of Education		CY+6	--	7	Security
FSP02	Annual Transportation Survey	Completed annually and submitted to South Coast Air Quality Management District and City of Pasadena. Shows starts and progression of improvement in alternative forms of transportation such as car pooling		CY+6	--	7	Security
FSP03	Card Access System	Maintains a running cumulative record of building access		CY+6	--	7	Security
FSP04	Department of Defense Records	Contains classified material. Retention based upon the direction from Department of Defense (DoD)		Perm	--	Perm	Security
FSP05	Incident Reports	Records all unusual activity (fire alarms, burglaries, open doors, slip & fall, etc.), resolution, and may include follow-up investigations		CY+6	--	7	Security
FSP06	Non-fatal Investigations Records	Contains arrest records, case investigation records concerning non-fatal incidents, emergency response plans, felony records, misdemeanors/summons, missing persons records (solved), regulation/code violation records, sex crimes, and violations (decriminalized). These sensitive investigations are completed at the direction of Office of General Counsel and considered Attorney Client Privilege. At the completion of the investigation, forwarded to Office of General Counsel. No copy is retained in Security Office		PT	--	PT	Office of General Counsel
FSP07	Parking Records	List of all persons assigned a parking pass. Shows car pool assignments, reserved parking, commuter, etc.		CY+2	--	3	Security

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Retention Total	Owner Department/ Office of Record
FSP08	Surveillance Camera Data and Logs	Camera records of various locations. Retention based upon the system's capability. Hard drive over writes over a period of 30-90 days based upon the number of cameras hooked to the system		30-90 days	--	30-90 days	Security

California Institute of Technology
RECORDS RETENTION SCHEDULE

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	HUMAN RESOURCES						
	HUMAN RESOURCES						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
HUM01	Accident & Injury Report	Filed in the Workers' Compensation Claim File		--	--	--	Human Resources
HUM02	Affirmative Action Applicant Data	Data that supports the Affirmative Action Plan		CY+4	--	5	Human Resources
HUM03	Affirmative Action Plan	Shows the plan for Caltech		Act+3		Act+3	Human Resources
HUM04	Applications	Contains Applicant Information Form & Qualification Summary for candidates who interview		CY+6	--	7	Human Resources
HUM05	Base Pay Program Files	Documents the administration of the employee salary plan. Includes job families, job descriptions, job classifications, and pay grades		SU	20	SU+20	Human Resources
HUM06	Benefits Handouts	Describes various benefits that is distributed to employees		SU	20	SU+20	Human Resources
HUM07	Bonus and Performance Rewards	Analysis for distributing bonuses and performance budgets		CY+2	4	7 or AA	Human Resources
HUM08	Child Care Assistance Program (C-CAP)	Contains all records required to administer the program including but not limited to list of persons applying for the program and notifications if they are accepted. Organized by employee		AT+1	6	AT+7	Human Resources
HUM09	Compensation Records	Contains job classification, documentation on positions and evaluation for compensation and reclassification, job descriptions, job class codes or groups		SU+7	--	SU+7	Human Resources
HUM10	Disciplinary Case File	Documentation including but not limited to: complaint filed against employee, write-up, investigation, drug screening if for suspension, notes on the cases, probationary release letter, grievances, layoffs, termination notice or letter, etc.		AT+7	--	AT+7	Human Resources

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
HUM11	Drug Screening	Pre-employment drug screening tests. Retained 5 years after test		Date of creation	7	Date of creation+ 5	Human Resources
HUM12	Faculty Records	Contains patent agreement, direct deposit, and benefits enrollment	Yes	Perm	--	Perm	Human Resources
HUM13	Human Resources Personnel Data	Contains the employee's performance evaluation and benefits elections for staff and post doctorate; pay, job, personal information of staff, faculty, and post doctorates	Yes	AT+7	--	AT+7	Human Resources
HUM14	I-9 Form	Authorization to work form that verifies eligibility to work in United States. Retain at least 3 years or 1 year after termination of employee, whichever is longer		3 or AT+1	--	3 or AT+1	Human Resources
HUM15	Immigration – Public Access Files	Contains copy of the certified LCA form and supporting documentation. Retain Length of Authorization plus one (1) year		Length of auth+1	--	Length of auth+1	Human Resources
HUM16	Immigration Files	Contains documents relating to the international status of any international person assisted by the International Office. Retain 5 years after (1) the termination date; or (2) the green card approval date, whichever is earlier		5	--	5	Human Resources
HUM17	Job Applicant Tracking Records	Documents the hiring process for each open position. Contains requisition, recruitment strategies, announcements, applicant files (applications, resumes, cover letters, transcripts), pools of qualified candidates, interview notes, compensation recommendations, and final offers		CY+6	--	7	Human Resources
HUM18	Job Fairs	Contains information regarding the event, cost, location, fliers that inform what jobs are available, and information regarding benefits of working at Caltech		CY+2	--	3	Human Resources

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

| Item No. | Records Series Title | Records Series Description | Vital | Retention | | | Owner Department/ Office of Record |
				Active Office	Inactive Storage	Total	
HUM19	Job Files	Contains copy of requisition, copy of resume, interview schedule		CY+2	--	3	Human Resources
HUM20	Learning Management System	Contains staff education, career development and new employee training information. Shows all classes an employee attends		AT+7	--	AT+7	Human Resources
HUM21	Leaves of Absence (LOA)	Organized by employee. Includes leaves of absence for personal leave, medical leaves of absence for work or non-work-related medical leaves, long-term disability leave, bonding leave or military leave. Contains request, reason for leave, approvals, related correspondence, and miscellaneous medical certifications		AT+1	6	AT+7	Human Resources
HUM22	Organizational Structure	Shows structure of offices and departments. May includes back-up data such as program documentation and project data		SU+15	--	SU+15	Human Resources
HUM23	OSHA 300 Log	Lists the accidents, days lost, frequency. Retained in CompWatch database		CY+4	--	5	Human Resources
HUM24	Patent Agreements – Staff	Patent agreements signed by employees at Caltech	Yes	Perm		Perm	Human Resources
HUM25	Personnel File	Documentation including but not limited to: application, resume, data sheet (address, phone numbers, emergency contacts), copy of requisition, copy of offer letter, disclosures, confidentiality agreement, direct deposit forms, handbook acknowledgement form, benefit waiver if less than 4 months, hire-on bonus agreement, relocation agreement, nepotism form, telecommute agreement, forms for election of benefits, voluntary retirement. At the time of termination, patent agreement and benefit enrollment data is pulled and retained permanently. At time of retirement, benefit information is pulled and placed into Retiree Benefit File	Yes	AT+1	6	AT+7	Human Resources

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
HUM26	Personnel Pre-employment Medical Form –	Fitness for duty evaluation reports. Contains no medical information		AT+1	6	AT+7	Human Resources
HUM27	Policies and Procedures	Policies and procedures for Caltech. One copy of each version retained permanently	Yes	Perm	--	Perm	Human Resources
HUM28	Relocations	Contains all of the travel and expense records related to relocation for individual employees		CY+6	--	7	Third Party Vendor
HUM29	Salary and Market Surveys	Includes salary and market surveys received as well as solicited		CY+4	--	5	Human Resources
HUM30	Service Awards	A list of persons receiving an award based upon years of service		CY+4	--	5	Human Resources
HUM31	Subpoenas	Subpoenas received requesting employee information		PT	--	PT	Office of General Counsel
HUM32	Sexual Harassment Log	Sign-in sheet that shows who attended the sexual harassment training		CY+4	--	5	Human Resources
HUM33	Training Courses	For classes taught in-house. Contains course curriculum and handouts to attendees		SU	7	SU+7	Human Resources
HUM34	Tuition Reimbursements	Organized by person. Contains application, description of course, request for funds, grade sheets, and supporting documentation		AT+7	--	AT+7	Human Resources
HUM35	United Way Contribution Forms	Forms stored in Oracle. Employees go on line and designate if they will make a contribution. Information is downloaded to an Excel file for proper allocation by United Way		CY+6	--	7	Human Resources
HUM36	Verification of Employment	Contains verification of employment release forms signed by the employee and copies of the verification of employment letters		CY+4	--	5	Human Resources
HUM37	Withholding Calculations	Calculates federal taxes and withholding for international employees	Yes	Act	--	Act	Human Resources

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
HUM38	Workers' Compensation Claims	Contains all documentation relating to a claim including but not limited to: copy of the accident and incident report, doctor reports, notes, related correspondence, legal status reports, and support documentation. Retain 5 years after claim has been settled or 5 years after termination of employee whichever is longer		Act+5 or AT+5	--	Act+5 or AT+5	Human Resources
HUM39	Workers' Compensation Reports	Received from the third-party administrator that shows the number of outstanding claims and their status		Act	--	Act	Third Party Vendor

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	BENEFITS						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
HUM40	5500 Form Filing – Benefits	Annual return to Federal Government for Benefit and Retirement Plans including vouchers, worksheets, receipts, applicable resolutions and other materials providing backup to reports, certifications, and plan descriptions		CY+2	4	7	HR – Benefits
HUM41	Benefit Plans Administration Records	Records documenting plan administration for various benefits, including health/welfare plans, long term disability, life insurance, COBRA, retirement, and tax deferred annuities		Perm	--	Perm	HR – Benefits
HUM42	Benefit Vendor Files	Records for each benefit provider, carrier, or vendor		CY+2	4	7	Third Party Vendor
HUM43	COBRA Records	COBRA notices and responses are not kept in the Personnel File; they are kept in a separate file/binder		CY+2	--	3	Third Party Vendor
HUM44	Consulting Files	Records related to health and welfare retirement consultants. Includes supporting documentation for issuing contracts, data requests sent to consultants, and their resulting analysis and projections		CY+2	4	7	HR – Benefits
HUM45	Eligibility Reports	For health plans such as Anthem/Blue Cross. Used to reconcile. Completed on a per payroll basis		CY+2	4	7	HR – Benefits
HUM46	Employee Index Card	3x5 card with the employment dates, titles for each employee. (Historical record prior to legacy and Oracle electronic personnel systems)		Perm	--	Perm	HR – Benefits

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
HUM47	Mercer Reports	Financial reports received annually on post retirement, health, and non-discrimination testing		CY+2	4	7	HR – Benefits
HUM48	Plan Document and Amendments	Defined benefit, defined contribution plans 403(b), 457(f), 457(b), individual agreements, and Flexible Spending Accounts	Yes	Perm	--	Perm	HR – Benefits
HUM49	Qualified Medical Support Orders (QMSO)	Records related to medical support ordered by a court		Act +7	--	ACT+7	HR – Benefits
HUM50	Request for Proposal (RFP)	Contains request for proposal, responses to RFP and any back-up documentation relating to changing to a new carrier		CY+2	4	7	HR – Benefits
HUM51	Retiree Benefit File	Contains all of the benefit elections, life insurance specific to the retirement, and changes that may be elected during retirement. *Retain file until death plus 5 years*		Death+5	--	Death+5	Third Party Vendor
HUM52	Summary Annual Reports (SAR)	Annual distribution that describes the basic financial information regarding retirement fund; documentation includes vouchers, worksheets, receipts, applicable resolutions and other materials providing backup to reports, certifications, and plan descriptions filed with the Secretary of Labor	Yes	CY+6	--	7	HR – Benefits
HUM53	Summary Plan Description (SPD)	Information about rights and objectives under the Caltech Benefit Program including Health and Welfare and retirement plans including summary of material modifications	Yes	Perm	--	Perm	HR – Benefits

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	INFORMATION MANAGEMENT SYSTEMS & SERVICES (IMSS)						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
IMS01	Back-up – Daily	Incremental back-up that contains cumulative data of all Business and Finance systems (excluding Oracle and file servers) as well as division systems that IMSS has been engaged to support	Yes	Act	1 month	1 month	IMSS
IMS02	Back-up – Daily (File Servers)	Incremental back-up of Business and Finance file server data as well as file server data for divisions that IMSS has been engaged to support.	Yes	Act	1 month	15 months	IMSS
IMS03	Back-up – Daily (Oracle)	Full back-up of Oracle databases.	Yes	8 days or Act	1 month	1 month	
IMS04	Client Management Program	Contains inventory of hardware, systems of software installed, versions, etc.	Yes	Act	--	Act	IMSS
IMS05	Contracts	Contains copy of the contract with software licensing, hardware, leasing, and service vendors. In paper and electronic format		EX	--	EX	Procurement
IMS06	Work Order Data	Contains support tickets and legacy problems and resolutions	Yes	Act	--	Act	IMSS

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
     of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	OFFICE OF FINANCIAL SERVICES						
	BUDGET & PLANNING OFFICE						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
BUD01	Annual Budget Book	Submitted to the Board of Trustees. Includes financials and support narrative for each section		Perm	--	Perm	Budget & Planning
BUD02	Budget Support Documentation	Contains tables, charts, and reports that supports the annual budget book. Majority of data is stored electronically		CY+9	Perm	Perm	Budget & Planning
BUD03	Common Data Set	Report that summarizes institutional research. Shows student related data such as student enrollment, financial performance, financial aid, etc. Posted to Caltech web site and provided to various peer groups and institutions		Perm	--	Perm	Institutional Research
BUD04	Institutional Research	Background information and surveys that supports the Common Data Set		Act	--	Act	Budget & Planning
BUD05	Quarterly Budget Variance Report	Contains budget variance report, forecast for current year and 5-year forecast. Final report submitted to President's Office, Provost, and Vice President of Finance. Back-up documentation retained in Budget		CY+9	Perm	Perm	Budget & Planning
BUD06	Surveys	Surveys received that are completed and returned to sender		CY+9	--	10	Budget & Planning

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

| Item No. | Records Series Title | Records Series Description | Vital | Retention | | | Owner Department/ Office of Record |
				Active Office	Inactive Storage	Total	
	CONTROLLER'S OFFICE						
	ACCOUNTING SERVICES						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
ACC01	Agreements – Donor & Pledge	Endowment Agreement and Trust Agreements	Yes	CY+5	Perm	Perm	Accounting Services
ACC02	Agreements – Gift	Gifts given for a specific item	Yes	EX7		EX+7	Accounting Services
ACC03	Agreements – Technical Services & Facilities Use Agreements	Agreements between Caltech and third parties. Contains the original agreement and back-up documentation	Yes	EX+1	6	EX+7	Accounting Services
ACC04	Bank Reconciliations	Monthly reconciliations for all bank accounts. Includes cancelled checks, if still available		CY+1	5	7 or AA	Accounting Services
ACC05	Budgets and Cost Transfers – General and Auxiliary Funds	Contains official budget and the department's detailed account level budget. Shows how it is recorded in Oracle including changes		CY+1	5	7 or AA	Accounting Services
ACC06	Budgets and Cost Transfers – Plant Fund	Contains official budget and the department's detailed account level budget. Shows how it is recorded in Oracle, including changes, plus bond expenditures for construction projects and how it is recorded in Oracle including changes		CY+1	Life of Bond+7	Life of Bond+7	Accounting Services
ACC07	Cash Deposits and Receipts	Deposits made via check scanning or credit union. Contains copy of the check, cash receipts and all support back-up. Includes foreign deposits, petty cash, miscellaneous receipts, etc.		WU	6	7 or AA	Accounting Services
ACC08	Donor & Pledge General Activity Records	Contains cost transfers, budget, donor reporting, tax reporting, etc.		CY+6	--	7	Accounting Services
ACC09	Endowment Pool Records	Tracks investments by donor's endowment shares		Perm	--	Perm	Accounting Services
ACC10	Financial Statements – Audited	Annual financial statements and pertinent back-up documentation	Yes	CY+1	Perm	Perm	Accounting Services

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
ACC11	Financial Statements & Interim Reporting	Contains internal monthly, quarterly financial statements and back-up documentation; internal review of key account balances, and memos written to the file on why an issue was found reasonable or investigations		CY+6	--	7 or AA	Accounting Services
ACC12	Fixed Assets	Contains general ledger reconciliation and depreciation. Buildings are retained permanently		CY+1	Life of asset+6	Life of Asset+7	Accounting Services
ACC13	Forecasting	Data to support the Budget Office		CY+2	--	3	Accounting Services
ACC14	General Ledger	General ledger and all reconciliations	Yes	CY+1	5	7 or AA	Accounting Services
ACC15	Internal Control Documentation	Narratives of how transactions are supposed to flow, description of controls, policies, and procedures		S	--	S	Accounting Services
ACC16	Monthly Close	Contains all documentation to close the accounting books each month such as journal entries, supporting documentation, etc.		CY+1	5	7 or AA	Accounting Services
ACC17	Stock Gifts	Tracks the gifts of stock received, the original investment value, sale value, etc.		CY+1	5	7 or AA	Accounting Services
ACC18	Tax Audits	Contains the final audit report and supporting documentation	Yes	CY+5	5	10 or AA	Accounting Services
ACC19	Tax Memos	Summary of how tax decisions are made	Yes	Perm	--	Perm	Accounting Services
ACC20	Tax Return Back-up	Contains all the supporting documentation to the tax returns	Yes	CY+2	7	10 or AA	Accounting Services
ACC21	Tax Returns	Includes federal, state, sales and use tax, property tax, occupancy tax returns and Trust tax returns	Yes	CY+5	Perm	Perm	Accounting Services

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	BURSAR'S OFFICE						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
BUR01	Cash/Student Receivables	Daily copies of deposit slips of all checks and cash sent to Credit Union or Bank of America including hand receipts and scanned checks. Daily reconciliation of A/R including cash/checks received by cashier/CASHNET. (Hard copy scanned checks destroyed after 30 days)		CY+2	4	7 or AA	Bursar's Office
BUR02	Collection Agency Files	Contains bond, copy of the insurance documents, verification of technical system and related correspondence		Act+1	--	Act+1	Bursar's Office
BUR03	Collections – Internal	In-house collection efforts on past due accounts with students who have left Caltech. File remains active in office until collection is satisfied		Act+4	--	Act+4	Bursar's Office
BUR04	Reconciliations	Daily and monthly reconciliations of all charges and payments to Student receivable interfaced and reconciled to General Ledger/OGM		CY+1	3	5	Bursar's Office
BUR05	Student Loan Files	Contains all loan documents by individual student borrower. Retained until loan is paid in full plus 3 years thereafter		Act+3	--	Act+3	Bursar's Office
BUR06	Student Scholarship Files	All outside scholarships received by students		CY+1	3	5	Bursar's Office
BUR07	Year-end Closing Files/Loan Fund Files/FISAP Reports/Student Houses Files, etc.	Academic and fiscal closing report including copies of FISAP for the Department of Education. Also contains various loan funds files and student houses files		CY+1	3	5	Bursar's Office

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	PAYROLL SERVICES						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
PAY01	1099 Forms	Issued to contractors and fellowship individuals annually		CY+2	4	7 or AA	Payroll Services
PAY02	Annual Reconciliation	Recap of the calendar year of dollars expended on payroll		CY+2	4	7 or AA	Payroll Services
PAY03	Annuities	Contains information about the contributions made by individuals to the retirement plan		Perm	--	Perm	Payroll Services
PAY04	Audits	Contains sample of audit documentation, responses, reply, and final report		CY+4	--	5	Payroll Services
PAY05	Bank Reconciliations	Completed monthly		CY+2	4	7 or AA	Payroll Services
PAY06	Bi-Weekly Payroll	Source documents that are input into Kronos, if necessary		CY+2	4	7 or AA	Payroll Services
PAY07	Cost Transfers	Also known as Labor Distribution. Source documents that shows what payroll is allocated to specific awards and any changes		CY+2	4	7 or AA	Payroll Services
PAY08	Garnishments	Contains garnishment documentation by employee and payments to the third party. Retain file until garnishment is paid off plus 7 years		Act+2	5	Act+7	Payroll Services
PAY09	General Ledger Fiscal Close	Year end balances with Oracle and accounts for unbalancing		CY+2	4	7 or AA	Payroll Services
PAY10	Monthly Close	Balances with the Oracle system that accounts for unbalancing; all monthly benefit reconciliations with health, dental and life; and all voluntary deductions such as bonds, United Way		CY+2	4	7 or AA	Payroll Services
PAY11	Monthly Transmittal to Bank	Contains data on how to balance payroll, back-up documentation sent to the bank, and recap of the live checks plus direct deposits		CY+2	4	7 or AA	Payroll Services

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Active Office	Inactive Storage	Total	Owner Department/ Office of Record
				Retention			
PAY12	Quarterly Tax Returns	Issued to federal and state governments		CY+2	4	7 or AA	Payroll Services
PAY13	Tax Payroll Records	Contains tax forms that are signed by the employee such as W-4 forms, state tax forms, etc. These forms are organized by year		AT	--	AT	Payroll Services
PAY14	Timekeeping Records	Employees enter their time into this system	Yes	CY+6	--	7 or AA	Payroll Services
PAY15	W-2 Forms	Issued annually to employees		CY+2	4	7 or AA	Payroll Services

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	COST STUDIES						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
CST01	Federal Agreements, Statements, and Reports	Approved Federal Disclosure Statements and associated Federal letters of adequacy and compliance, Federal Rate Agreements, Federal audit reports and Caltech audit responses, and formal communications or agreements with Federal cognizant agency including but not limited to cognizant agency decision letters.		AA	Perm	Perm	Cost Studies
CST02	Submission Packages and Supporting Work Papers	F&A (Facilities & Administrative) and staff benefit rate incurred cost and forward pricing proposal submission packages and supporting work papers, Federal Disclosure Statement submissions and supporting documentation. Includes space study results used in the proposals and associated work papers.		AA		AA	Cost Studies
CST03	Rate Proposals – Summary	Executive Summary Facilities and Administrative rate proposals.		CY+4	Perm	Perm	Cost Studies
CST04	Cost Studies	Studies including but not limited to External surveys, Service Center Reviews, Cost Analysis Studies, Cost Impact Studies, etc.		CY+3	3	7	Cost Studies
CST05	JPL Lump Sum Proposal and Supporting Work Papers	JPL Lump Sum proposal and supporting work papers including related audit reports and audit support records.		5	5	10	Cost Studies

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	POST AWARD ADMINISTRATION						
	CAMPUS POST AWARD						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
PAA01	Bank Reconciliations on Advance Payments	Interest payments and bank reconciliations on advance payments made by federal sponsors		CY+2	4	7 or AA	Post Award Administration
PAA02	LOC Draws	Letter of credit payments directly drawn from the sponsor's payment systems (NIH, NASA, NSF, DOE)		CY+2	4	7 or AA	Post Award Administration
PAA03	Payroll Distribution Certifications and Cost Transfer Documentation	Semi-annual payroll distribution confirmation certifications and cost transfer documentation		CY+2	5	7 or AA	Post Award Administration
PAA04	Post Award Administration Sponsored Award Files	Electronic files organized by funding source award number. Documentation including but not limited to: award summary, sponsor notice of award, financial reports, journal entries, cost sharing, budget re-alignment entries, payment requests, invoices, financial close out, and related correspondence		EX+2	5	EX + 7 or AA	Post Award Administration
PAA05	SF272 Quarterly Reports	Quarterly cash transaction reports for federal sponsors such as NIH, NASA, DOE, NSF		CY+2	4	7 or AA	Post Award Administration

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

| Item No. | Records Series Title | Records Series Description | Vital | Retention | | | Owner Department/ Office of Record |
				Active Office	Inactive Storage	Total	
	JPL ACCOUNTING						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
JPA01	Accounts Payable (JPL Transfers, i.e., Purchase Orders)	Data to manage the process of Accounts Payable		CY+2	PC	PC	JPL Post Award Administration
JPA02	Accounts Receivable (JPL IAs)	Data to manage the process of Accounts Receivable		CY+2	PC	PC	JPL Post Award Administration
JPA04	Award Close Out	Contains all documentation to close out a contract		CY+2	PC	PC	JPL Post Award Administration
JPA05	LOC Draws	Cash drawn down from NASA for JPL		CY+2	4	7 or AA	JPL Post Award Administration
JPA06	Inter-company Billing	Financial billing related to costs incurred by Caltech on behalf of JPL		CY+2	4	7 or AA	JPL Post Award Administration
JPA07	Reporting	Contains monthly, quarterly, and annual reports to NASA submitted to Caltech on behalf of JPL		CY+2	PC	PC	JPL Post Award Administration
JPA08	Trial Balance Journal Entries	Completed monthly to close the books. Contains all supporting documentation to the journal entries		CY+2	4	7 or AA	JPL Post Award Administration

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	JPL PROJECT ACCOUNTING						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
JPA01	Accounts Payable (JPL Transfers)	Data to manage the process of Accounts Payable		CY+2	PC	PC	JLP Project Accounting
JPA02	Accounts Receivable (JPL IAs)	Data to manage the process of Accounts Receivable		CY+2	PC	PC	JLP Project Accounting
JPA03	Audited Financial Statements	Annual financial statement		Perm	--	Perm	JLP Project Accounting
JPA04	Award Close Out	Contains all documentation to close out a contract		CY+2	Perm	Perm	JLP Project Accounting
JPA05	Daily Draws	Cash drawn down daily from NASA		CY+2	4	7 or AA	JLP Project Accounting
JPA06	Inter-company Work	Financial work completed when NASA completes work for JPL and JPL completes work for NASA		CY+2	4	7 or AA	JLP Project Accounting
JPA07	Reporting	Contains monthly, quarterly, and annual reports to NASA		CY+2	PC	PC	JLP Project Accounting
JPA08	Trial Balance Journal Entries	Completed monthly to close the books. Contains all supporting documentation to the journal entries		CY+2	4	7 or AA	JLP Project Accounting

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

| Item No. | Records Series Title | Records Series Description | Vital | Retention | | | Owner Department/ Office of Record |
				Active Office	Inactive Storage	Total	
	PROCUREMENT SERVICES						
	PAYMENT SERVICES						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
PRO01	1099 Forms and Reports	Issued to independent contractors annually. Reports support how the 1099 decisions are made		CY+1	5	7 or AA	Payment Services
PRO02	Payment Voucher Packages	Documentation including but not limited to: non-negotiable check copies, third party bank acknowledgements (effective 1/1/21) , approved invoices, payment requests, reimbursements, travel expense reports, receivers, etc.	Yes	EX	7	EX+7 or AA	Payment Services
PRO03	Supplier Management	Contains tax information for the entity such as W-9 or W-8, electronic fund transfer, liens, bankruptcy information, direct deposit bank information. Supplier information is entered into Oracle		Act+1	6	Act+7	Payment Services
PRO04	Wire Transfers	Contains wire transfer reports with banking information, copy of the invoice payment request, or travel expense report along with back-up documentation	Yes	EX	-	EX+7 or AA	Payment Services
PRO05	Oracle: Payables	Where payments are made. Entries feed into the Oracle Grants Module and General Ledger	Yes	EX	--	EX+7 or AA	Payment Services

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Active Office	Inactive Storage	Total	Owner Department/ Office of Record
	PURCHASING SERVICES						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
PRO06	P-Card & All Applicable Documentation	Issued to staff, faculty, and students. Contains expense reports, identifies monthly charges with approval signatures, invoice and receipts for cash		EX	7	EX+7 or AA	Purchasing Services
PRO07	Purchase Order Package – Federal Award Award and All Others	Contains purchase requisition, purchase order, and support back-up documentation (Conditions: (1) purchase orders generated outside of TechMart and (2) TechMart generated purchase orders that have been modified)		EX	7	EX+7 or AA	Purchasing Services
PRO08	Subcontracts	Contains purchase requisition, purchase order, contractual documents, and support documentation	Yes	EX	7	EX+7 or AA	Purchasing Services
PRO09	TechMart	Also known as an E Procurement System. Issues purchase requisitions and basic purchase orders and saves the electronic support documentation. Effective as of 2005	Yes	EX	7	EX+7 or AA	Purchasing Services
PRO10	Purchase Requisitions and Purchase Orders – Non-Federal	Electronic systems issues purchase requisitions and basic purchase orders and saves the electronic support documentation	Yes	CY+1	5	7 or AA	Purchasing Services

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	**Inactive Storage**	**Total**	
	PROPERTY SERVICES						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
PSV01	Asset Forms/Reports and Supporting Documentation	Equipment forms and reports including but not limited to: Property closeout reports submitted at end of sponsored award, Asset Retirement Forms or Equipment Disposal Certification forms including supporting documentation, donated asset forms and support, equipment loan forms, Excess Property forms, sponsor Equipment Disposition instructions, and Loss, Damage, Destruction, or Theft (LDD&T) reports.		Life of Asset+7	--	Life of Asset+7	Property Services
PSV02	Audit Reports, Responses, and Work Papers	Government or sponsor audit reports, Caltech response, and support documentation.		CY+2	Perm	Perm	Property Services
PSV03	Equipment Reports and Supporting Work Papers	Annual financial reconciliation reports for Fixed Asset system acquisition costs and depreciation to year-end closing trial balance including explanations on variances. Equipment inventory results include management reports, ONR notification letters, etc.		AA	--	AA	Property Services
PSV04	Policies and Procedures	Property Services policies and procedures manual desktop procedures, capitalization policies and self-assessment.		SU	Perm	Perm	Property Services
PSV05	Property Reports – Annual	Required annual sponsored property reports.		EX+3		EX+3	Property Services

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

California Institute of Technology
RECORDS RETENTION SCHEDULE

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Retention Total	Owner Department/ Office of Record
	TREASURY SERVICES						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
TRE01	Board Resolutions – Financings	Contains copy of Board Resolution and term sheets provided by the bank are attached. (Original Resolution in President's Office)		Perm	--	Perm	Office of the President
TRE02	Capital Projects Funded by CEFA Bonds	Keeps track of what projects and how much was spent from California Educational Facility Authority (CEFA) funds		2	EX+5	EX+7	Treasury
TRE03	Cash Projections	Completed weekly that shows cash projections for 1 month and the year. Contains all back-up documentation		CY+2	--	3	Treasury
TRE04	Closing Documents	Contains all the documentation required for a bond		WU	Perm	Perm	Treasury
TRE05	Compliance Certificate	Forwarded to California Educational Facility Authority (CEFA). Shows annual compliance with bond covenant	Yes	EX+2	5	EX+7	Treasury
TRE06	Construction Fund Requisition	Reimbursement capital expenditures with bond proceeds		EX+2	5	EX+7	Treasury
TRE07	Construction Progress Report	Forwarded to California Educational Facility Authority (CEFA) semi-annually as money is spent on the project		EX+2	5	EX+7	Treasury
TRE08	Continuing Disclosure	Required for fixed rate bond. Provides information about Caltech facility, the type of research that is completed, relationship with JPL, student enrollment, demographics, etc. Completed annually		EX+2	5	EX+7	
TRE09	Due Diligence	Documentation provided to attorneys for bond due diligence		WU	Perm	Perm	Treasury
TRE10	Funding Directives	Memo authorizing line of credit activity. Contains original signatures		EX+2	5	EX+7	Treasury

---

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
TRE11	Interest Rate Swap Agreement Records	Contains original agreement and payments related to swap and settlement. Contains agreement and bank terms	Yes	2	EX+5	EX+7	Treasury
TRE12	Interest Rate Swap Invoices	Received monthly that settles the interest rate. Payment Services retains original		CY+1	--	2	Payment Services
TRE13	Letter of Credit	Letter of credit with bank. Also contains board resolution, back-up documentation, application for stand-by, amendments, and related correspondence	Yes	2	EX+5	EX+7	Treasury
TRE14	Lines of Credit - Wires and Draws	Contains original wire and draw request and support back-up documentation		CY+2	4	7 or AA	Treasury
TRE15	Liquidity Report	Investment balances used to determine liquidity rating		CY+2	4	7 or AA	Treasury
TRE16	Loan Agreement and Promissory Notes	Lines of credit issued	Yes	EX+2	5	EX+7	Treasury
TRE17	Petty Cash Receipts	Receipt attached to documentation about the expenditure and forwarded to Payment Services for processing		PT	--	PT	Payment Services
TRE18	Reconciliations	Reconciliations of cash liability accounts, i.e., line of credit. Forwarded to Accounting Services		CY+2	--	3	Accounting Services
TRE19	Supplemental Reports	Data submitted to rating agency who completes analysis for rating		CY+2	4	7	Treasury

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
     of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

California Institute of Technology
RECORDS RETENTION SCHEDULE

COMMITTEES

Item No.	Records Series Title	Records Series Description	Vital	Active Office	Inactive Storage	Total	Owner Department/ Office of Record
	ADMINISTRATIVE COMMITTEE ON BIOSAFETY						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
CBI01	Assurances, Licenses, Registrations	Records relating to regulatory agencies, including PHS, OLAW, USDA, CA Dept of Fish & Wildlife, DARPA, NSF, etc.		CY+5		6	Office of Research Compliance
CBI02	Committee Charter	Outlines the purpose, responsibilities, composition, and reporting structure		Perm		Perm	President's Office
CBI03	Committee Governance	Any written procedures, guidelines, etc.		CY+5		6	Office of Research Compliance
CBI04	Committee Member Information	List of IBC and IRE committee members, their CVs and appointment letters		CY+5		6	Office of Research Compliance
CBI05	Committee Policy	Any written policies, procedures, and guidelines for the ABC, or specific to the IBC and IRE		Perm		Perm	Office of Research Compliance
CBI06	IBC Materials & Protocols	Records of all applications for approval, continuing review materials, documentation of risk assessment of any study devices, statements of significant new findings which may related to a subject's willingness to continue participation, etc.		LJ+12		LJ+12	Office of Research Compliance
CBI07	Incidents	Reports and other records		LJ+12		LJ+12	Office of Research Compliance
CBI08	IRE Materials & Protocols	Records of toxin and agent identifications, applications, IBC protocols and IRE sections IRE assessments, mitigation plans, investigator education and training, etc.		LJ+12		LJ+12	Office of Research Compliance
CBI09	Meeting Materials	Meeting agendas, minutes, and materials for the IBC and IRE meetings		CY+5		6	Office of Research Compliance

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Active Office	Inactive Storage	Total	Owner Department/ Office of Record
				Retention			
	COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
CHR01	Assurances, Licenses, Registrations	Records relating to regulatory agencies, including PHS, OLAW, USDA, CA Dept of Fish & Wildlife, DARPA, NSF, etc.		CY+5		6	Office of Research Compliance
CHR02	Committee Charter	Outlines the purpose, responsibilities, composition, and reporting structure		Perm		Perm	President's Office
CHR03	Committee Governance	Any written procedures, guidelines, etc.		CY+5		6	Office of Research Compliance
CHR04	Committee Member Information	List of committee members and IO, their CVs, appointment letters, training, etc.		CY+5		6	Office of Research Compliance
CHR05	Committee Policy	Written policies for the IRB (Institutional Review Board)		Perm		Perm	Office of Research Compliance
CHR06	Exempt Research	Records of initial queries, status memos with exemption determination, etc.		LJ+12		LJ+12	Office of Research Compliance
CHR07	Incidents	Reports and other records of any injuries to subjects, and other adverse or other events, as well as non-compliances		LJ+12		LJ+12	Office of Research Compliance
CHR08	Meeting Materials	Meeting agendas minutes of IRB (Institutional Review Board), etc.		CY+5		6	Office of Research Compliance
CHR09	Protocols	Records of all applications for approval of human subject research, continuing review materials, documentation of risk assessment of any study devices, statements of significant new findings which may relate to a subject's willingness to continue participation, etc.		LJ+12		LJ+12	Office of Research Compliance

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	INSTITUTIONAL ANIMAL CARE & USE COMMITTEE						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
CAC01	AAALACi Accreditation	Records relating to accrediting body determinations		CY+5		6	Office of Research Compliance
CAC02	Assurances, Licenses, Registrations and Inspection Reports	Records relating to regulatory agencies, including PHS, OLAW, USDA, CA Dept of Fish & Wildlife, DARPA, NSF, etc.		CY+5		6	Office of Research Compliance
CAC03	Committee Charter	Outlines the purpose, responsibilities, composition, and reporting structure		Perm		Perm	President's Office
CAC04	Committee Governance	Any written procedures, guidelines, etc.		CY+5		6	Office of Research Compliance
CAC05	Committee Member Information	List of committee members, their CVs, and appointment letters		CY+5		6	Office of Research Compliance
CAC06	Committee Policy	Any written policies, procedures, and guidelines for the IACUC		Perm		Perm	Office of Research Compliance
CAC07	IACUC Semiannual Program Evaluations	Records of semiannual IACUC reports and recommendations as forwarded to the Institutional Official		CY+5		6	Office of Research Compliance
CAC08	Incidents	Reports, memos and other records gathered as a result of an incident		LJ+12		LJ+12	Office of Research Compliance
CAC09	Meeting Materials	Meeting agendas minutes of IACUC meetings, etc.		CY+5		6	Office of Research Compliance
CAC10	Protocols	Records of all applications, amendments, personnel training, approvals and non-approvals, lab SOPs		LJ+12		LJ+12	Office of Research Compliance
CAC11	Standard Operating Procedures (SOP)	IACUC's Standard Operating Procedures		SU+1		SU+1	Office of Research Compliance
CAC12	Training Records	Records of researcher training		CY+5		6	Office of Research Compliance

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	RADIATION SAFETY COMMITTEE						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
CRA01	Assurances, Licenses, Registrations and Inspection Reports	Records relating to regulatory agencies, including NRC, etc.		CY+5		6	Environmental Health and Safety Office
CRA02	Committee Charter	Outlines the purpose, appointment process, membership, and reporting structure		Perm		Perm	President's Office
CRA03	Committee Governance	Any written procedures, guidelines, etc.		CY+5		6	Environmental Health and Safety Office
CRA04	Committee Member Information	Contains member's CV (Curriculum Vitae), appointment letter, correspondence, etc.		Act+4		Act+4	Environmental Health and Safety Office
CRA05	Committee Policy	Policies unique to radiation protection		Perm		Perm	Vice President of Administration
CRA06	Committee Proceedings/Minutes/Agenda	Documentation including but not limited to: committee report, high level summary of the minutes, review of the original applications, copy of the handout. Organized by year and by quarter		CY+9		10	Environmental Health and Safety Office
CRA07	Faculty Permit Application Records	Contains application and user procedure, location, personnel, etc. Reviewed by the Committee to approve a permit to the faculty member that allows them to use radioactive material and x-ray machines		AT+3		AT+3	Environmental Health and Safety Office
CRA08	Incidents	Reports, memos and other records gathered as a result of an incident		LJ+12		LJ+12	Environmental Health and Safety Office
CRA09	Meeting Materials	Meeting agendas minutes of RSC meetings, etc.		CY+5		6	Environmental Health and Safety Office
CRA10	Program Review	Annual review of people, procedures, SOPs, and comparing license conditions		CY+9		10	Environmental Health and Safety Office
CRA11	Protocols	Records of all applications, amendments, personnel training, approvals and non-approvals, lab SOPs		LJ+12		LJ+12	Environmental Health and Safety Office

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
CRA12	Radioactive Materials License Application with the State of California (DHS)	Identifies the procedures and SOPs, qualifications of radiation worker, Committee membership, Radiation Safety Officer. Retain 10 years or upon new license issue		CY+9		10	Environmental Health and Safety Office

| Item No. | Records Series Title | Records Series Description | Vital | Retention | | | Owner Department/ Office of Record |
				Active Office	Inactive Storage	Total	

DEVELOPMENT & ALUMNI RELATIONS

ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
DAR01	Donor Funding Activities	Database contains important funding activities, donor tracking, prospect management, and creates reports for the various development programs such as: Alumni Association Annual Giving Corporate & Foundation Relations Development Operations Office of Gift Planning Principal & Major Gifts The Associates	Yes	Perm	--	Perm	Development & Alumni Relations
DAR02	General Accounting and Transaction Records	Organized by each program and donor. Contains information regarding the gifts, donation, pledges, and trust records. Also included in this series are purchasing and disbursement records. Documentation copies of record transactions forwarded to Finance or other departments		CY+1	--	2	Finance or Other Owner Departments
DAR03	Satellite: Discuss if this category can be merged with DAR01	Database contains limited information pulled from donor funding activities regarding alumni admissions and volunteers. Data retained until overwritten or deleted		SU	--	SU	Development & Alumni Relations

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record

GENERAL COUNSEL, Office of the

Item No.	Records Series Title	Records Series Description	Vital	Active Office	Inactive Storage	Total	Owner Department/ Office of Record
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
OGC01	General Files	Organized by topic/subject matter. Documentation including but not limited to: negotiations, investigations, legal advice, contract disputes, lobbying laws, etc.		Perm	--	Perm	Office of General Counsel
OGC02	Prime Contract with JPL	Contains negotiations and related correspondence	Yes	Perm	--	Perm	Office of General Counsel
OGC03	Litigation	Retained electronically. Contains all documentation related to litigation. Retain 7 years after settlement of litigation		Settle+7	--	Settle+7	Office of General Counsel
OGC04	Settlement Agreement	Final settlement agreement or final resolution for a litigation case	Yes	Perm	--	Perm	Office of General Counsel

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	INTELLECTUAL PROPERTY						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
OGC05	Copyright Registration Docket	Federal filing of copyright and certificate, correspondence to and from the client, filing fees, copy of copyright (original with client)	Yes	Act	Perm	Perm	Intellectual Property
OTT06	Patent Prosecution – Abandoned	Application for patent abandoned and assumes that there is no continuing patent application	Yes	Perm	--	Perm	OTT
OTT07	Patent Prosecution Docket	For U.S. and foreign pending and issued patents. Documentation including but not limited to: application, patent illustrations and modifications, documents back and forth to the Patent Office, correspondence to and from the client, copy of patent issued by U.S. or Foreign Patent Office, all maintenance of patents including filing fees, etc.	Yes	Perm	--	Perm	OTT
OGC08	Trademark Registration – Abandoned	Application for trademark abandoned		Date of Abandon	--	Date of Abandon +1	Office of General Counsel
OGC09	Trademark Registration Docket	Documentation including but not limited to: application, documents back and forth with the State, U.S. or Foreign Trademark office, correspondence between attorney and client, copy of trademark issued by the State, U.S. or Foreign Trademark office (original with client); trademark maintenance records such as filing fees, correspondence regarding continuous use of trademark, etc.	Yes	Act	Perm	Perm	Office of General Counsel

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record

INVESTMENT OFFICE

	INVESTMENT OPERATIONS						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
INV01	Financial Statement Audits	Documents retained in response to the auditor's request		CY+2	4	7 or AA	Investment Office
INV02	Fund Agreements	Agreements including but not limited to: Manager Agreements, Investment Management Agreements, Subscription Agreements, Limited Partnership Agreements (LPA), etc. as well as critical supporting documentation such as staff due diligence work papers and legal due diligence letters	Yes	EX+2	5	EX+7	Investment Office
INV03	Investment Committee – Back-up	Contains staff and legal due diligence materials for the Board of Trustees meetings		CY+6	--	7	Investment Office
INV04	Investment Committee – Fund Approvals	Staff proposals and related Committee voting results for new funds		Perm	--	Perm	Investment Office
INV05	Investment Committee – Submitted Materials	Materials submitted to the President's Office for the Board of Trustees meetings		Perm	--	Perm	President's Office
INV06	Investment Transactions	Covers all directive letters sent to custodian or fund managers relating to investment transactions. Contains original request, copy of the approval, and back-up support documentation		CY+2	4	7 or AA	Investment Office
INV07	Licensing Stock Records	Issued by Office of Technology Transfer (OTT). Contains copy of stock certificate of companies formed for stock received as a result of licensing technology. May contain stock purchase agreement and associated correspondence		Life of co	--	Life of company	OTT

| Item No. | Records Series Title | Records Series Description | Vital | Retention | | | Owner Department/ Office of Record |
				Active Office	Inactive Storage	Total	
INV08	Management Reporting	Contains audited financial statements, quarterly letters, partnership annual audits, and related correspondence that is support for the general ledger		CY+2	4	7 or AA	Investment Office
INV09	Monthly Reporting from Custodian	Reporting that supports the financial statements. Shows current balances, performance for a period of time, control reports of balancing and reconciliation		CY+2	4	7 or AA	Investment Office
INV10	Research Reports and Data	Data received from subscription services		Act	--	Act	Investment Office
INV11	Securities Gifts	Contains all correspondence from the Development Office on the direction from the donor. Contains copy of stock certificate and correspondence from Accounting		CY+2	4	7 or AA	Investment Office
INV12	Surveys – Back-up Documentation	Benchmarking survey data that is used to prepare a report to National Association of College and University Business Officers (NACUBO)		CY+4	--	5	Investment Office
INV13	Surveys – Final Report	Final report that certifies the data in the report submitted to National Association of College and University Business Officers (NACUBO)		CY+9	--	10	Investment Office
INV14	Vendor File	Contains vendor agreement, list of services provided, copy of invoices, and associated correspondence		EX+1	6	EX+7	Investment Office

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	INVESTMENTS – REAL ESTATE						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
INV15	Real Estate Property File – With and Without Environmental Issues	Organized by address or location for real estate acquisitions and dispositions. Documentation including but not limited to: grant deed, quit claim deed, title insurance policy, appraisals, escrow closing statements, ground lease or lease documentation, broker listing agreements, environmental impact reports, remediation reports, purchase and sale agreement and associated correspondence. Finance reviews the key file documents before closing and then sends them to RRS for permanent retention		Act+2	Perm	Perm	Investments – Real Estate

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	RISK MANAGEMENT						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
RSK01	Audits	Information regarding internal audits. Contains data forwarded to internal auditor		CY+2	--	3	Audit Services
RSK02	Certificates of Insurance	Received from contractors that verifies that they are covered with insurance		LJ+5	--	LJ+5	Risk Management
RSK03	Claims – First & Second Party	Claims for vehicle accidents, property theft, etc. Contains Security's report, original purchase receipt, replacement quote, department memo, memo from Risk Management regarding reimbursement for claims. Retain 5 years after settlement of claim		Act+5	--	Act+5	Risk Management
RSK04	Claims – Third Party	Handled by outside entity. Contains invoice from adjuster, insurance adjuster reports, investigation, security report, fact finding data such as pictures and determination of the case, and authorization to settle the claim. Retain 5 years after settlement of claim		Act+5	--	Act+5	Risk Management
RSK05	Contracts	Copies of contracts that are sent to Risk Management for review regarding insurance coverage. Reviewed for insurance risk and proper documentation. Notes regarding findings retained with contract. Office of Record may be Purchasing Services, Office of General Counsel, Office of Sponsored Research, or JPL		EX+7	--	EX+7	Purchasing Services Office of General Counsel Office of Sponsored Research or JPL
RSK06	Insurance Carrier Records	Contains annual reports, documentation regarding their services, fact sheet on the coverage they provide, etc.		Act	--	Act	Risk Management
RSK07	Insurance Policies	All property and casualty insurance policies	Yes	Perm	--	Perm	Risk Management

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
RSK08	Litigation	Documentation including but not limited to: copies of summons, letter to insurer, notice from insurer about closure. Main file resides with Office of General Counsel. Retain 1 year after settlement of claim		Act+1	--	Act+1	Office of General Counsel
RSK09	Property Records	Contains information about all owned buildings, their contents, replacements, enhancements. Retain for life of building plus 7 years		Act+7	--	Act+7	Risk Management
RSK10	Self-Insure Permits	Received from the State of California with respect to vehicles		Perm	--	Perm	Risk Management
RSK11	Vehicle List	List of all vehicles that are owned by Caltech. Shows make, model, and department who uses the vehicle		SU	--	SU	Risk Management
RSK12	Vehicles Sold Records	Contains all vehicle registration, renewals, information regarding the sale of vehicle and related correspondence. Retained 7 years after sale of vehicle		Act+7	--	Act+7	Risk Management
RSL13	Vehicle Certificates of Ownership	Contains all Caltech-owned vehicles Certificates of Title	Yes	Act+7	--	Act+7	Risk Management

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	**Inactive Storage**	**Total**	

JPL – CONTRACTOR RECORDS

Item No.	Records Series Title	Records Series Description	Vital	Active Office	Inactive Storage	Total	Owner Department/ Office of Record
	JPL – ACQUISITION	*All procurement records are destroyed 6 years 3 months after close of applicable prime contract. Listed below is an example of those records.*					
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
JPO01	Purchase Orders	Purchase order files contain all documents relating to a particular procurement		Act	PC	PC	JPL – Acquisition
JPO02	Reports to NASA	Monthly reports submitted to NASA documenting letter orders and contracts for the month. Documentation consists of a cover memo or email, a form for each letter order, and the original authorization memo		CY+4	PC	PC	JPL – Acquisition
JPO03	Source Evaluation Team and Board Files	Documents Board actions related to the award of competitive procurements. Files for Board required for procurements larger than $50M. Includes Requests for Proposals, evaluations, findings, presentation to Source Selection Official, etc.		CY+4	PC	PC	JPL – Acquisition
JPO04	Subcontractor Procurement Records	Documents procurement contracts with subcontractors. Files including but not limited to: Section A – Routing slips; Section B – Procurement Summary and Price or Cost Analysis; Section C – Contract Purchase Order and Modifications; Section D – Procurement Authorization; Section E – RFI/RFP/RFQ/Invitation to Bid and Related Correspondence; Section F – Contractor's Proposal & Related; Incoming Correspondence; and Section G – NASA Correspondence		CY+4	PC	PC	JPL – Acquisition
JPO05	Unsolicited Proposals	Proposal submitted by companies with ideas for business opportunities		CY+4	PC	PC	JPL – Acquisition

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	JPL – ENVIRONMENTAL, HEALTH & SAFETY						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
JEH01	Environmental Award Records	Awards received from the State of California when goals are met		CY+4	--	5	JPL – EH&S
JEH02	Medical Records	One file for each employee. Contains medical surveillance and ionizing radiation user records		AT	30	AT+30	JPL – EH&S
JEH03	Self-Assessment Records	General assessment that identifies safety issues and findings. Completed annually		CY+4	--	5	JPL – EH&S
JEH04	Special Reviews or Projects	Contains all attorney-client privilege documents		Perm	--	Perm	JPL – EH&S
JEH05	Training Records	Organized by employee. Shows the courses attended and dates which includes environmental training, occupational safety training, and systems safety training. Training records are stored on the two on-line tools entitled: JPL Human Resources Professional Development/Education and Training (HR/ET) and the Learning Management System (LMS)		AT+1	4	AT+5	JPL – EH&S

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Retention Total	Owner Department/ Office of Record
	JPL – FINANCE	*Most finance records are destroyed 6 years 3 months after close of applicable prime contract. Listed below is an example of finance records and categories that need to be retained permanently*					
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
JFN01	Agreements & Contracts	Includes any agreement, contract amendments, and related correspondence with a third party.\n\nRetain prime contract in the office until the prime end date. Other agreements and related correspondence retain in the office until expiration of agreement	Yes	EX	PC	PC	JPL – Finance
JFN02	Audit File	Contains a file for each audit including Caltech internal audits, Subcontractor Audits, and Inspector General audits. Documentation including but not limited to: notification letter, data, correspondence, final report, and response, if any		CY+2	PC	PC	JPL – Finance
JFN03	Budget and Preparation Documentation	Contains spreadsheets and other information supporting the preparation of the budget. Also includes Institutional Burden Budgets		CY+2	PC	PC	JPL – Finance
JFN04	Caltech Transfers	Contains Caltech authorization forms authorizing JPL to perform work for campus. Includes sponsor work orders of less than $50K. (Not a prime contract related document)		CY+1	PC	PC	JPL – Finance
JFN05	CAS Disclosure Statement	Contains the CAS Disclosure Statement, working documentation, and supporting materials including the audit report		CY+5	PC	PC	JPL – Finance
JFN06	Cash Receipts & Daily Cash Requirements Report	Contains receivables documentation and requests for all JPL's daily cash requirements based on daily transactions		CY+3	PC	PC	JPL – Finance

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
JFN07	CDRLs	*Item Discontinued. Refer to JFN08*		--	--	--	N/A
JFN08	Contract Data Requirements List (CRDL)	Contains the contractor copies of the CDLRs submitted to NASA, list of data that is required to be submitted under the Prime Contract (CDRL), and a copy of the transmittal letter for the submission. Retained until expiration of prime end date	Yes	EX	PC	PC	JPL – Finance
JFN09	Cost Transfer Request	Contains completed Cost Transfer Request forms and any supporting documentation to correct a project input error or move costs between accounts		CY+1	PC	PC	JPL – Finance
JFN10	Financial Statements – Audited	Annual financial statements and pertinent back-up documentation	Yes	CY+7	Perm	Perm	JPL – Finance
JFN11	Financial Statements & Interim Reporting	Contains internal monthly, quarterly financial statements and back-up documentation, internal review of key account balances, and memos written to the file on why an issue was found reasonable or investigations		CY+ 1-7	PC	PC	JPL – Finance
JFN12	General Ledger and Journal Entries	Contains the manual journal entries, support documentation, and General Ledger	Yes	CY+4	PC	PC	JPL – Finance
JFN13	Interdivisional Authorization	Contains Caltech Interdivisional Authorizations to transfer funds between Caltech and JPL		CY+1	PC	PC	JPL – Finance
JFN14	Manual Check Log – Payroll Checks	Contains check number, net pay amount, date of check, employee name, and reason for issuing the manual check		CY+4	PC	PC	JPL – Finance
JFN15	Manual Check Log – A/P Reimbursement checks to Employees	Contains check number, net pay amount, date of check, employee name, and reason for issuing the manual check		PC	--	PC	JPL – Finance
JFN16	NASA Reports	Including but not limited to: 1018 Property Report, 1260 Quarterly Report, 533 Forms (monthly and quarterly report)	Yes	CY+2	PC	PC	JPL – Finance

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
        of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

| Item No. | Records Series Title | Records Series Description | Vital | Retention | | | Owner Department/ Office of Record |
				Active Office	Inactive Storage	Total	
JFN17	Financial Transactional Records	Contains all of the financial data	Yes	PC	--	PC	JPL – Finance
JFN18	Payroll Employee File	One file for each employee. Contains tax forms (W-4, DE-4), credit union, direct deposit, and other information		CY+4	PC	PC	JPL – Finance
JFN19	Payroll Records	Documentation including but not limited to: payroll file transmissions for bi-weekly payroll, timekeeping records, payroll registers, payroll run validation scripts, etc.		CY+3	PC	PC	JPL – Finance
JFN20	P-Card Documentation	Contains copies of requests, receipts and invoices for P-card purchases		CY	PC	PC	JPL – Finance
JFN21	Prime Contract Records	Contains the official Prime contract and contract modifications	Yes	PC	--	PC	JPL – Finance
JFN22	Proposal Log	Shows proposals for work going through campus for sponsored work of less than $50K for work outside prime contract		CY	PC	PC	JPL – Finance
JFN23	Reconciliations	Contains reconciliations including but not limited to: cost to cash, labor clearing, travel master ledger, bank reconciliation including cancelled checks, daily cash, travel, payroll, supplier invoice reconciliations, etc.		CY+ 5-6	PC	PC	JPL – Finance
JFN24	Supplier Invoices	*Item Discontinued. Refer to JFN30*		--	--	--	N/A
JFN25	Task Order Files	These files (one per task order) includes proposal authorization (PA) / or Boss Data Entry sheet, Task Plan, Resource Authority Warrant (RAW) certification letters, Funding Authorization (506)m, PR, task order modifications, and supporting documents from NASA, or non-NASA sponsor. Retain 1 year after task order closes		Act+1	PC	PC	JPL – Finance
JFN26	Tax Return Back-up	Contains all the supporting documentation to the tax returns		CY+4	PC	PC	JPL – Finance

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
JFN27	Tax Returns – Payroll	Contains monthly, quarterly, and annual tax returns filed with federal and state governments	Yes	CY+4	Perm	Perm	JPL – Finance
JFN28	Taxable and Non-Taxable Relocation	Contains documentation on taxable relocations because these are input earnings and taxed		CY+1	PC	PC	JPL – Finance
JFN29	Travel Requests, Authorizations and Expense Records	Contains requests, authorizations, reimbursements, and other actions related to travel by members of the Division office and some supervisors. Also includes travel expenditure reports		CY+1	PC	PC	JPL – Finance
JFN30	Vendor / Subcontract Files	Contains invoice and all back-up documentation. Retain onsite until subcontract close out which may be years after the period of performance due to audit requirements and other required data to close out the agreement.		EX	PC	PC	JPL – Finance
JFN31	W-2 Forms	Returned W-2 forms due to incorrect address. Payroll files the returned W-2 on the employee payroll record file after the April 15 filing		CY+4	PC	PC	JPL – Finance
JFN32	W-9 Forms	Original copy of the W-9 filed by each subcontractor		Perm	--	Perm	JPL – Finance

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	JPL – HUMAN RESOURCES						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
JHR01	Administration of the Performance Review Process	Records documenting administration of the performance review process, referred to as Employee Contribution and Performance (ECAP) reviews		PC	--	PC	JLP – Human Resources
JHR02	Affirmative Action Program (AAP) Equal Employment Opportunity	Annual plan for the Affirmative Action Program, submitted to NASA. Includes analysis of current employees, the local market, and targets		PC	--	PC	JPL – Human Resources
JHR03	Benefit Consultant & Vendor Files	Contains supporting documentation for issuing contracts, data requests sent to consultants, and their resulting analyses and projections. The official records are retained at Caltech		EX	--	EX	Caltech
JHR04	Benefits Handbook	Handbook describes various employee benefits and is distributed to employees. Caltech retains 1 copy of each version permanently		SU	--	SU	Caltech
JHR05	Child Care Program	Includes C-CAP. Contains all records required to administer the program including but not limited to: list of persons applying for the program, notifications if they are accepted. Organized by employee		AT+1	PC	PC	JPL – Human Resources
JHR06	Compensation Records	Contains records on awards, bonuses, performance and service rewards, and Base Pay Program files. Also includes Salary Reviews that include guidelines, training, pay grades, comparison with the market, annual increase requests, and supporting documentation submitted to Caltech		CY+4	PC	PC	JPL – Human Resources

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
JHR07	Court Orders	Court orders against the retirement benefits of JPL employees. Includes Qualified Domestic Relations Orders (QDRO) and Qualified Medical Support Orders (QMSO). Retain 7 years after settlement of case		Act+1	6	Act+7	JPL – Human Resources
JHR08	Degree Verifications (Submitted Post-Hire)	Records verifying degree obtained by employee including copy of diploma, official transcripts, or verification from a third party vendor		AT+7		AT+7	JPL – Human Resources
JHR09	Drug Screenings	Includes all drug screening, i.e., applicant, safety sensitive, DOT and reasonable suspicion testing.		AT+7		AT+7	JPL – Human Resources
JHR10	Employee Assistance Program	Records documenting administration of the Employee Assistance Program (EAP). Includes patient and clinical records. Retained 10 years after termination of employee or date of last office visit		AT+10	--	AT+10	JPL – Human Resources
JHR11	Employee Benefit File – Including retiree/COBRA and LTD files	Records documenting participation of individual employees in various benefits. Includes universal enrollment forms (UEFs), beneficiary forms, retirement plan applications, salary reduction agreements (SRAs), Maximum Exemption Allowances (MEAs), benefits counseling, tax deferred annuities (TDAs), Leaves of Absence (LOA) forms, and court orders against the retirement benefits of JPL. *Retain file until death of employee, retiree, or surviving spouse plus 5 years*	Yes	Death+2	3	Death+5	JPL – Human Resources
JHR12	Employee Change Information (ECI)	Records documenting most employee-related transaction such as transfer, promotions, changes in scheduled hours, employment programs, etc. Source document to input into ECI, part of Oracle HR		AT+7		AT+7	JPL – Human Resources
JHR13	Employee Demographic Changes	Contains name, address, or gender changes		AT+7		AT+7	JPL – Human Resources

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
JHR14	Employee Medical File	Records include evaluations related to illnesses, injuries, working with hazardous agents, return to work readiness, job fitness, and non-work related conditions; treatments provided or prescribed, referrals to specialists; health monitoring for those working with hazardous agents; lab, x-rays, and other diagnostic test reports; and long-term disability notices, leaves of absence (LOA)	Yes	AT+1	29	AT+30	JPL – Human Resources
JHR15	Employee Relations (ER) Case File	Contains investigations of individual employees, situations, grievances, workplace issues, copies of ECAP (Employee Contribution Assessment Program), lay off records, and written counseling communications from the Section office OPFs, telecommuting activities		AT+1	4	AT+5	JPL – Human Resources
JHR16	Employee Services	Records documenting administration of employee support services and programs, such as the Wellness Program and similar offerings. Includes release forms		CY+4	PC	PC	JPL – Human Resources
JHR17	Employee Terminations	Hard copy of the print screen in Web Termination/Clearance, part of Oracle HR. Documents the terminations and clearances for departing employees		CY+4	PC	PC	JPL – Human Resources
JHR18	Employment Verifications Investigation Requests	Routine inquiries seeking verification of dates of employment for individuals, along with HR's response (employment verifications only)		CY+1	--	2	JPL – Human Resources
JHR19	Equipment and Instrument Files	Contains calibration and maintenance of all medical devices. Retain life of equipment plus 5 years		LE	5	LE+5	JPL – Human Resources
JHR20	Event Plans	Preserves the who, what, when, and cost of employee events such as "Take Your Child to Work." Includes releases, if required		CY+1	--	2	JPL – Human Resources

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
JHR21	I-9 Form	Immigration form that verifies eligibility to work in United States. Retain at least 3 years or 1 year after termination of employee, whichever is longer		3 or AT+1	--	3 or AT+1	JPL – Human Resources
JHR22	Immigration – Public Access Files	Organized by person. Contains copy of the signed and certified LCA form ETA 9035, prevailing wage documentation, copy of posted LCA (1) & (2) that is required in order for a person to get work authorization in an "H" setting Retain 3 years from the date(s) of creation of the record(s) except if an enforcement action is commenced; then all payroll records shall be retained until the enforcement proceeding is completed		Date of Creation+ 3	--	Date of Creation +3	JPL – Human Resources
JHR23	Immigration Files	Organized by person and by immigration status, which is either F, J, TN, O, H1 status, or green card status. Contains all entry documentation and may contain immigration application, if required. Retain 5 years from the date of filing the *Application for Permanent Employment Certification*		Date of filing + 5	--	Date of filing + 5	JPL – Human Resources
JHR24	Recruitment and Hiring Records	Documents the hiring process for each open position. Contains requisitions, recruitment strategies, announcements, applicant files (applications, resumes, cover letters, transcripts), pools of qualified candidates, interview notes, compensation recommendations, and final offers		PC	--	PC	JLP – Human Resources
JHR25	Leaves of Absence	Organized by employee. Includes leaves of absence for personal leave, medical or research leaves. Contains request, reason for leave, approvals, and related correspondence		AT+1	4	AT+5	JPL – Human Resources
JHR26	Leaves of Absence	*Item Discontinued. Refer to JHR25*		--	--	--	N/A

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
JHR27	Staff, Education and Career Development Records	Contains staff education and career development information. Organized by person. Shows all the classes each employee attends	Yes	PC	--	PC	JPL – Human Resources
JHR28	Managing Authority Delegations (MAD)	Faxed forms used to make change request for adding or removing delegated access to HR applications, signature authority, and time card reviews. Changes are made in Oracle HR		CY+1	--	2	JPL – Human Resources
JHR29	Mentoring and Succession Planning Records	Documents the use of senior knowledge holders to develop highly-skilled employees. Includes guidance on networking opportunities, career growth, ways to increase organization effectiveness and exchange of new ideas within and across Directorates; and documents human capital talent		AT+5	--	AT+5	JPL – Human Resources
JHR30	Occupational Health Records	Contains patient appointments, meetings (both internal and external), and special events. Office closed 2016. Retention of these records are eligible for destruction 2056.		CY+9	30	40	JPL – Human Resources
JHR31	Human Resource Employee Records	Contains various information on employees including but not limited to: Master History File, employee merit increases, employee's capability inventory, organization structure, and hierarchy process files	Yes	Perm	--	Perm	JPL – Human Resources
JHR32	Patent Agreement	Signed by employees	Yes	Perm	--	Perm	JPL – Human Resources
JHR33	Personnel Appointment Announcements (PAA)	Forms used to make appointments to supervisory positions or assignments to cover jobs requiring a focal point for interaction or information when a significant segment of the Lab has a need to be aware of the assignment		CY+1	3	5	JPL – Human Resources

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
   of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Active Office	Inactive Storage	Total	Owner Department/ Office of Record
				Retention			
JHR34	Personnel File	Documentation including but not limited to: application, resume, performance appraisal response, data sheet (address, phone numbers, emergency contacts), copy of requisition, copy of offer letter, disclosures, patent agreement, confidentiality agreement, hire-on bonus agreement, relocation agreement, work schedule agreement, safety sensitive agreement, degree verification, conflict of interest a.k.a. application for Outside Employment, nepotism form, telecommute agreement, Ethical Business Conduct Acknowledgement Forms, timekeeping agreement. At the time of termination, patent agreement pulled and retained permanently. File retained by the Division until employee terminates then it is transferred to HR	Yes	--	AT+7	AT+7	JPL – Human Resources
JHR35	Relocations	Contains all of the travel and expense records related to relocation for individual employees		CY+2	4	7 or AA	JPL – Human Resources
JHR36	Salary Reviews	Includes guidelines, training, pay grades comparison with the market (competition analysis), annual increase requests and supporting documentation submitted to Caltech, audit confirmation packages, and the salary increase report submitted to Caltech		CY+4	--	5	JPL – Human Resources
JHR37	Subpoenas	Copies of subpoena requests received. This does not include responses that is sent to Office of General Counsel		CY+4	--	5	JPL – Human Resources
JHR38	Training Courses	Training on business methods such as leadership and sexual harassment. Contains agenda, curriculum, and class handouts		SU	--	SU	JLP – Human Resources

| Item No. | Records Series Title | Records Series Description | Vital | Retention | | | Owner Department/ Office of Record |
				Active Office	Inactive Storage	Total	
JHR39	Tuition Reimbursements	Organized by person. Contains application, description of course, request for funds, grade sheets, and supporting documentation		AT+5	--	AT+5	JPL – Human Resources
JHR40	Veterans Records	Contains reports to U.S. Government regarding veterans statistics		PC	--	PC	JPL – Human Resources

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	JPL – OFFICE OF THE DIRECTOR						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
JOD01	Agreements	Consulting agreements		EX	--	EX	Procurement
JOD02	Chief Financial Officer General Records	Miscellaneous records of the Associate Director and Chief Financial Officer includes the Institutional Business Forecast. These records are considered pre-decisional or confidential financial information		CY+9	10	20	JPL – Office of the Director
JOD03	Director's Discretionary Fund	Contains information regarding allocations and expenditures of Caltech funds. May include events and activities planning information		CY+6	--	7 or AA	JPL – Office of the Director
JOD04	Executive Council Records	Contains agenda, meeting minutes, and handouts. Also includes retreat documentation. These records are considered pre-decisional		CY+9	Perm	Perm	JPL – Office of the Director
JOD05	General Records	Contains correspondence, correspondence log, and related information created or received by the Office of the Director (i.e., JPL Director and Deputy Director). Organized by year and topic		CY+9	Perm	Perm	JPL – Office of the Director
JOD06	JPL Advisory Committee Records	Contains agenda, meeting minutes, and handouts. These records are considered pre-decisional	Yes	CY+9	Perm	Perm	JPL – Office of the Director
JOD07	Outreach Presentations	Final speeches presented by the Office of the Director		Perm	--	Perm	JPL – Office of the Director
JOD08	Project Execution Pre-Decisional Records	*Item Discontinued. Refer to JOD09*					

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
JOD09	Project Strategic Planning and Formulation Records (Pre-Decisional)	Contains pre-decisional records such as cost analyses or other assessments to aid in decision making. Project Formulation includes workforce, cost, strategic planning, advanced concepts (e.g. Team X) proposals, planning documentation related to bid and proposal activities, project development, and project formulation. These records are considered pre-decisional		CY+9	10	20	JPL – Office of the Director

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
PRESIDENT'S OFFICE							
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
PRE01	Administrative Committees – Chairs	Contains receipts when money is spent on behalf of the Administrative Committee. The Chair of the Committee retains the official file		CY+4	--	5	Respective Administrative Committee Chair
PRE02	Administrative Committees – General Records	Contains rosters, appointment memos, thank you letters, and charters for administrative committees including but not limited to: Administrative Management Council, Institutional Animal Care and Use Committee, Benefits Committee, Institutional Biosafety Committee, Institutional Review Board, Computing Advisory Committee, Diversity Council Institute Academic Council, Institute Administrative Council, Institute Art, Performing and Creative Arts, Radiation Safety Committee, Committee on Sponsored Research, SURF Administrative Committee, Council on Undergraduate Education		CY+9	Perm	Perm	President's Office
PRE03	Board of Trustees – Meeting Back-up	Contains back-up materials to the Board of Trustees meetings such as agendas, notices, planning documents, notes, background information, and logistics for the meeting including transportation and hotel requirements		CY+2	--	3	President's Office
PRE04	Board of Trustees – Member Files	Contains Board of Trustee member file correspondence, newspaper, and magazine articles, limited financial information, and biographical information		Act	Perm	Perm	President's Office
PRE05	Board of Trustees – Record Books	Official record of the Board of Trustee minutes and exhibits for all meetings of the full Board and each of its committees. Minutes contain the official Institute record of actions taken by the Board of Trustees. Committee membership lists are contained within the minutes of related meetings	Yes	Perm	--	Perm	President's Office

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
PRE06	Commencement Records	Contains all documentation to prepare for the annual commencement		CY+4	Perm	Perm	President's Office
PRE07	President's Travel Files	Includes information about airline, hotel, and rental car preferences, briefing papers, and information about every trip		CY+4	--	5	President's Office
PRE08	Presidential Papers	Organized by topic. Contains papers of historical significance including general office files. Important papers include records relating to Faculty Board, Faculty members, Division actions, and areas of particular interest to the President. Also includes President's outgoing chronological file. Retained while President is in office. At the end of the President's term, files are sent to Institute Archives		Act	--	Act	Institute Archives retains permanently
PRE09	Special Events and Social Activity Records	Contains all the information gathered to plan a social activity such as location, menus, receipts, guest lists, copy of invitation, photos, seating charts, memos, etc.		CY+4	--	5	Special Events Manager's Office
PRE10	Visiting Committees	Contains Visiting Committee planning documents, information notes and messages, memos, letters, membership records, agendas, attachments, working papers, and final reports		CY+2	7	10	President's Office

| Item No. | Records Series Title | Records Series Description | Vital | Retention | | | Owner Department/ Office of Record |
				Active Office	Inactive Storage	Total	

PROVOST'S OFFICE

Item No.	Records Series Title	Records Series Description	Vital	Active Office	Inactive Storage	Total	Owner Department/ Office of Record
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
PRV01	EEO Reporting	Contains data gathering and statistics on faculty. Submitted to Human Resources		CY+4	--	5	Human Resources
PRV02	Faculty Personnel Records	Personnel file set up for each faculty member. Documentation including but not limited to: resumes, Human Resources transactions, letters, completed benefit information, veteran information, degree completion forms, applications for social security numbers, EEO forms completed at the time of hire, reviews, departing faculty forms relating to termination, faculty reference letters (external and internal), committee reports, copies of advertisements, applicant pool information, reviews, early retirement agreement, correspondence, tenure records including accepted and denial letters, and notes	Yes	Act	Perm	Perm	Provost's Office
PRV03	Grievances	Contains faculty grievance and resolution to the issue. Merged with the personnel file after termination of the faculty member		AT	--	AT	Provost's Office
PRV04	Headcount Reporting	Faculty headcount. Submitted to Human Resources		CY+4	15	20	Human Resources
PRV05	IACC Packages	Search documentation that identifies the individual who was hired. Contains committee report that determines who was nominated by Institute Academic Council Committee (IACC), list of candidates, screening, letters of reference for the position, etc.		CY+4	Perm	Perm	Provost's Office
PRV06	Research Misconduct Records	Contains records relating to allegations, inquiries, and investigations of research misconduct and records that are the subject of government proceedings relating to research misconduct.		LJ+8		LP+8	Provost's Office

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
PRV07	Salary Survey	Any information shared with external sources about faculty's salaries		CY+4	15	20	Provost's Office

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Inactive Storage	Total	Owner Department/ Office of Record
	CENTER FOR DIVERSITY						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
CTD01	Consultation Notes	Notes taken during interviews with students. Used for referral for other services		WU		WU	Center for Diversity
CTD02	Debt Forgiveness	Fellowship payment loan information through the Mellon Foundation. As of 2010, history of the repayments retained in Bursar's Office		CY+6		7	Center for Diversity
CTD03	Student Records	Contains copy of grades, copy of checks, parent information, information on ethnicity and race. Used to plan for a student's success. Grades are retained permanently by Registrar's office		CY+6		7	Center for Diversity
CTD04	Training Programs	Contains curriculum and list of attendees. Training for students and faculty		CY+4		5	Center for Diversity

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	STUDENT-FACULTY PROGRAMS						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
SFP01	Consent, Release & Assumption of Risk Forms	Signed waivers and releases signed by students		Perm		Perm	Student-Faculty Programs
SFP02	Donor Records	Maintained electronically. Shows the amount and date of gift. Development retains the master file		Perm		Perm	Development & Institute Relations
SFP03	Grants	Grant proposals and awards written by and for Student-Faculty Program funding		EX+7		EX+7	Office of Sponsored Research or Development & Institute Relations
SFP04	Human Resources/Payroll Records	Forms completed and forwarded to either Human Resources or Payroll for retention. Documentation including but not limited to: W-4 Form, I-9 (Immigration Form), Direct Deposit Form, etc.		PT		PT	Human Resources
SFP05	Intra-divisional Authorization (IAs)	Forms authorizing funding from JPL for collaborative research activities on the campus		PT		PY	Project Accounting
SFP06	Patent Agreements	Patent agreements signed by students. Forwarded to Human Resources after agreement is signed		PT		PT	Human Resources
SFP07	Safety Forms	These forms are research-specific forms that students complete with and have signed by their PI or lab safety officer after they have taken the EH&S training		CY+6		7	Student-Faculty Programs
SFP08	Student Folder	Contained in local database, online application system, and local shared drive. Documentation including but not limited to: Application, Acceptance Form, Information Sheet, Registration Form, Insurance Verification, Project Plan, Recommendations, Mentor Review, Final Paper, Contact Information Form, Offer Letters		CY+5		6	Student-Faculty Programs

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
SFP09	Student Support Documentation	All paper forms that are completed or submitted by the student and entered into a local database. Documentation including but not limited to: Progress Reports and Transcripts		CY+1		2	Student-Faculty Programs
SFP10	SURF Administrative Committee Records	Committee reviews and makes recommendations for awards. Documentation contains minutes, agenda, award letters, etc.		CY+9		10	Student-Faculty Programs

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
     of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	TECHNOLOGY TRANSFER, Office of (OTT)						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
OTT01	Licensing Records	Licenses granted for multiple patents and copyrights. Contains all documentation regarding licensing records including warning letters, if applicable	Yes	Perm	--	Perm	OTT
OTT02	Patent Prosecution – Abandoned	Application for patent abandoned and assumes that there is no continuing patent application	Yes	Perm	--	Perm	OTT
OTT03	Patent Prosecution Docket	For U.S. and foreign pending and issued patents. Documentation including but not limited to: application, patent illustrations and modifications, documents back and forth to the Patent Office, correspondence to and from the client, copy of patent issued by U.S. or Foreign Patent Office, all maintenance of patents including filing fees, etc.	Yes	Perm	--	Perm	OTT

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

California Institute of Technology
RECORDS RETENTION SCHEDULE

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
OSR01	Award File	Extramurally sponsored awards for which OSR has responsibility. Hard copy documentation includes but is not limited to: proposal file, award summary, award instrument (legal instrument that commits funding) and associated correspondence		EX+1	6	EX+7 or AA	Office of Sponsored Research
OSR02	Award Instrument and Award Summary	Final award instrument with summary		Perm		Perm	Office of Sponsored Research
OSR03	Facilities Use Agreement/Technical Services Agreements (Non-federal)	Agreement and internal request document stored digitally		EX+1	6	EX+7	Office of Sponsored Research
OSR04	Facilities Use Agreements/Technical Services Agreements (Direct from Federal Sponsor)	Includes Award Summary, agreement and internal request document		EX+1	6	EX+7	Office of Sponsored Research
OSR05	Proposals	Contains hard copy of requests for funding and associated correspondence. If awarded, becomes part of Award File (OSR01). If not awarded, Proposal File is relegated to Proposals – denied (OSR06)		Act		Act	Office of Sponsored Research
OSR06	Proposals – Denied	Contains hardcopy of requests for funding which were not awarded as well as associated correspondence		18 mo after end of fiscal yr in which submitted		18 mo after end of fiscal yr in which submitted	Office of Sponsored Research

OFFICE OF SPONSORED RESEARCH

RESEARCH ADMINISTRATION

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

California Institute of Technology
RECORDS RETENTION SCHEDULE

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	EXPORT COMPLIANCE OFFICE						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
ECC01	Audits	Review of campus processes and procedures		CY+6		7	Audit Services
ECC02	Caltech Licenses and related Technology Transfer Control Plans (TRCPs), Technology Control Plans (TCPs)	Export/import licenses and related supporting documents from government agencies such as the Department of Commerce, the Department of State, and Office of Foreign Assets Controls for export-controlled items and related technology		EX or 7 from date of export license; whichever is later		EX or 7 from date of export license; whichever is later	Export Compliance Office
ECC03	Export License Determination Reviews	Export license determinations with rationale for: • Sponsored Research Projects • Miscellaneous projects from the Office of Technology Transfer • Foreign Person Questionnaires for foreign persons working on projects		EX or 7 from date of export license; whichever is later		EX or 7 from date of export license; whichever is later	Export Compliance Office
ECC04	I-129s	Export license determinations and restricted party screenings for reviews of I-129 forms		EX or 7 from date of export license; whichever is later		EX or 7 from date of export license; whichever is later	Export Compliance Office & International Scholar Services
ECC05	JPL Interdivisional Authorization Management System (IAMS)	IA export license determination and rationale with supporting documents, including Foreign Person Questionnaires for foreign persons working on the IAs.		EX or 7 from date of export license; whichever is later		EX or 7 from date of export license; whichever is later	Export Compliance Office

| Item No. | Records Series Title | Records Series Description | Vital | Retention | | | Owner Department/ Office of Record |
				Active Office	Inactive Storage	Total	
ECC06	JPL Licenses and related Technology Transfer Control Plans (TTCPs), Technology Control Plans (TCPs)	JPL export licenses submitted and Technology Control Plans, Technology Transfer Control Plans for export-controlled project.		EX or 7 from date of export license; whichever is later		EX or 7 from date of export license; whichever is later	Export Compliance Office, JPL
ECC07	Projects – Attorney Client Privilege	Special projects completed at the direction of Office of General Counsel. Contains work papers and report.		EX+7	PT	EX+7 then PT	Office of General Counsel
ECC08	Projects – Non-Attorney Client Privilege	Legal advice sought for complex export/import issues from CIT OGC and outside counsel		Perm		Perm	Export Compliance Office
ECC09	Registrations	State Department Registrations; BIS Registrations; Customs (import) specific registration		Perm		Perm	Export Compliance Office
ECC10	Risk Assessment	Reports and supporting documentation determining a department's risk level		CY+6		7	Export Compliance Office
ECC11	Shipping and Receiving: Mail Services and Classification	Records related to the international export and import shipments such as: Caltech International Shipment Form/Proforma Invoice, Export Classification with rationale, AES Filings, Restricted Party Screenings, and other related supporting documents		EX or 7 from date of export license; whichever is later		EX or 7 from date of export license; whichever is later	Export Compliance Office
ECC12	Training and Faculty Awareness Program	Campus Export Compliance and Faculty Awareness Program training materials and attendance logs		Act		Act	Export Compliance Office

Item No.	Records Series Title	Records Series Description	Vital	Active Office	Inactive Storage	Total	Owner Department/ Office of Record
				Retention			
				Active Office	Inactive Storage	Total	

STUDENT AFFAIRS

	ATHLETICS, PHYSICAL EDUCATION AND RECREATION						
	ATHLETICS						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
ATL01	Certifications	Includes CPR, First Aid, and copy of Class B & C Driver's License. Retained until expiration of certification		EX		EX	Athletics
ATL02	Facilities Information	Includes renovation details, equipment logs, replacement logs, preventative maintenance schedule and vendor information		LE		LE	Athletics
ATL03	Gift Accounts	Contains deposit information into the gift account		CY+6		7	Athletics
ATL04	Incident Reports	One-page document that shows name, time, date and brief description of incident, if first aid administered. Forwarded to HR or Deans		CY+4		5	Athletics
ATL05	NCAA Reporting	Contains forms completed by students and sports medicine athletic trainers, eligibility information, drug test information, and physical information. If the student is a minor, signed by the parent		AT+6		AT+6	Athletics
ATL06	NCAA Sports Data	Tracks all of the reporting information by sport		CY+6		7	Athletics
ATL07	Referee and Umpire Information	For referees and umpires contains copy of their W-9 form, contact information and initial check request. Organized by sport		CY+6		7	Athletics
ATL08	Student Records	Student record of participation in sporting groups and any accommodations		AT+7		AT+7	Athletics
ATL09	Timekeeping	Completed by coaches that shows time in and out, total amount of time worked and their signature		CY+6		7	Athletics

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	PHYSICAL EDUCATION						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
APE01	Course Records	Contains course outline, attendees. For students who enroll, grades are forwarded to Registrar's Office		SU+7		SU+7	Physical Education
APE02	Facilities Information	Includes renovation details, equipment logs, replacement logs, preventative maintenance schedule and vendor information		LE		LE	Physical Education
APE03	Incident Reports	One-page document that shows name, time, date and brief description of incident, if first aid administered. Forwarded to HR or Deans		CY+4		5	Physical Education
APE04	Student Records	Shows sports interests and accommodations		AT+7		AT+7	Physical Education

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
   of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	RECREATION						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
ARE01	Certifications	For aerobic and yoga instructors. Includes CPR, First Aid, Class B Driver's License, and current copy of driver's license. Retained until expiration of certification, then it is placed in the employee's personnel file		EX		EX	Recreation
ARE02	Classes and Schedules	Shows recreation classes available and schedule dates. Updated quarterly		CY+1		2	Recreation
ARE03	Credit Card Transactions	Copy of every Master Card or Visa transaction. Organized by date		CY+1		2	Recreation
ARE04	Deposit Forms	Shows account number, amount, date, cash, or check(s) deposited. Forwarded to Treasury		CY+6		7	Recreation
ARE05	Facilities Information	Includes renovation details, equipment logs, replacement logs, preventative maintenance schedule and vendor information		LE		LE	Recreation
ARE06	Incident Report	One-page document that shows name, time, date, and brief description of incident; first aid administered.		CY+6		7	Recreation
ARE07	Recreation Memberships	Application for membership completed by students and affiliated members. Contains personal and emergency contact information		CY+6		7	Recreation
ARE08	Timekeeping Records	Completed by recreation instructors. Shows time in and out, total amount worked and their signature		CY+6		7	Recreation

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

| Item No. | Records Series Title | Records Series Description | Vital | Retention | | | Owner Department/ Office of Record |
				Active Office	Inactive Storage	Total	
	CAREER DEVELOPMENT CENTER						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
CDC01	Counseling Records	Career and graduate school counseling records organized by student		AT+7		AT+7	Career Development Center
CDC02	Internship Resources	For students: includes internships available with internship description. For employers: includes outside employers who provide internships to Caltech students		Act		Act	Career Development Center
CDC03	Job Hunting Resources	Includes company contact information, career fairs, company information sessions, workshop materials and recruitment activities		CY+4		5	Career Development Center
CDC04	Programming Records	Materials related to career development including events, calendar, attendees		Act		Act	Career Development Center
CDC05	Student Records	Contains general information about the student such as name, address, phone; resume, cover letters, work study participation and unofficial transcripts		AT+7		AT+7	Career Development Center

California Institute of Technology
RECORDS RETENTION SCHEDULE

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	CALTECH ACCESSIBILITY SERVICES FOR STUDENTS						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
CAS01	Accessibility Services Records	Documentation related to accommodation (academic or medical) requests, etc.		AT+7		AT+7	Caltech Accessibility Services for Students

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

California Institute of Technology
RECORDS RETENTION SCHEDULE

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	DEAN OF GRADUATE STUDIES OFFICE						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
GSO01	Academic Disciplinary File	Emails, related materials and appeal documentation		AT+7		AT+7	Dean of Graduate Studies Office
GSO02	Admission Records	Contains application and related materials		AT+7		AT+7	Dean of Graduate Studies Office
GSO03	Behavioral Disciplinary File	Contains reports and related documentation		AT+7		AT+7	Dean of Graduate Studies Office
GSO04	Deceased Student Records	Incudes family information and plans for the memorial service		Perm		Perm	Dean of Graduate Studies Office
GSO05	Emergency Fund	Contains requests from students for refunds for reimbursements for personal needs		AT+7		AT+7	Dean of Graduate Studies Office
GSO06	Events and Special Programs	Contains back-up documentation for an event including but not limited to: schedules, fliers, invitations, correspondence, advertising, caterer, contract, etc.		CY+5		6	Dean of Graduate Studies Office
GSO07	Grants, Funds, Awards and Fellowships	Documentation concerning grants, funds, awards and fellowships. Contains applications, correspondence, proposals, recommendations, final results, etc.		AT+7		AT+7	Dean of Graduate Studies Office
GSO08	Historical Records	A snapshot of the student's record. Shows dates, who served on Faculty Committee, grades, and their title	Yes	Perm		Perm	Dean of Graduate Studies Office
GSO09	Honor Code Violations and Academic Discipline	Information and related materials for violations considered by the Graduate Honor Council (GHC)		AT+7		AT+7	Dean of Graduate Studies Office
GSO10	Institute Policy Violations	Information and related materials for Institute Policy violations considered by the Dean of Graduate Studies		AT+7		AT+7	Dean of Graduate Studies Office

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

California Institute of Technology
RECORDS RETENTION SCHEDULE

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	**Inactive Storage**	**Total**	
GSO11	Policies & Procedures	Policies and procedures; Add, Drop or Change a Class; Advisory Changes, etc.		Perm		Perm	Dean of Graduate Studies Office
GSO12	Prizes for Academic Excellence and Leadership	Identifies recipient's name, staff's recommendation to the student and supporting documentation		Perm		Perm	Dean of Graduate Studies Office
GSO13	Research & Teaching Assistant Records	Documentation including but not limited to: contact information, employment history, scholarships, fellowships, petitions for over/under loads, direct deposit forms, change of address, etc.		AT+7		AT+7	Dean of Graduate Studies Office

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

California Institute of Technology
RECORDS RETENTION SCHEDULE

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	DEAN OF UNDERGRADUATE STUDENTS OFFICE						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
UDS01	Academic Disciplinary Actions	Reports, related materials and appeal documentation		AT+7		AT+7	Dean of Undergraduate Students Office
UDS02	Behavioral Disciplinary File	Contains Conduct Review Committee reports or Dean's investigations, related documentation and appeals		AT+7		AT+7	Dean of Undergraduate Students Office
UDS03	Deceased Student Records	Includes family information and plans for the memorial services		Perm		Perm	Dean of Undergraduate Students Office
UDS04	Events and Special Programs	Contains back-up documentation for an event including but not limited to: schedules, fliers, invitations, correspondence, advertising, caterer, etc.		CY+6		7	Dean of Undergraduate Students Office
UDS05	Grants, Funds, Awards and Prizes	Documentation concerning Housner Don Shepherd, etc. grants, scholarships and awards. Contains applications, correspondence, proposals, recommendations final results, etc.		AT+7		AT+7	Dean of Undergraduate Students Office
UDS06	New Student Orientation	Contains documentation related to new student orientation		CY+2		3	Dean of Undergraduate Students Office
UDS07	Policies & Procedures	Policies and procedures: Add, Drop or Change a Class: Advisory Changes, etc.		Perm		Perm	Dean of Undergraduate Students Office
UDS08	Prizes for Academic Excellence & Leadership	Includes nomination, résumé, letters of recommendation from faculty and award given		AT+7		AT+7	Dean of Undergraduate Students Office
UDS09	Student Records	One file per undergraduate student. Documentation including but not limited to: contact information, picture, copy of approved petition (original with Registrar), reinstatements, sabbaticals, emergency funds, etc.		AT+1	6	AT+7	Dean of Undergraduate Students Office

---

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	FELLOWSHIPS ADVISING AND STUDY ABROAD						
	FELLOWSHIP ADVISING OFFICE						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
FAO01	Student Contact Information	Card that shows general information about the student such as name, address, house, graduation date, comments, etc.		AT+1		AT+1	Fellowship Advising Office
FAO02	Student Fellowships – Accepted	Contains application, letters of recommendation, nominating letter, correspondence, etc. Becomes a part of the student's record in the Registrar's Office		CY+6	4	10	Fellowship Advising Office
FAO03	Student Fellowships – Rejected	Contains documentation on a student who has applied for a fellowship but was denied		CY+6		7	Fellowship Advising Office

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

California Institute of Technology
RECORDS RETENTION SCHEDULE

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	STUDY ABROAD						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
FSB01	Exchange Partner Universities	Contains application, copy of transcripts, and evaluation materials		Perm		Perm	Study Abroad
FSB02	Student Contact Information	Card that shows general information about the student such as name, address, house, graduation date, comments, etc.		AT+1		AT+1	Study Abroad
FSB03	Student Records	Contains application, copy of transcripts, and evaluation material		AT+7		AT+7	Study Abroad

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	FINANCIAL AID						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
FAD01	Annual Tuition and Fee Increase Schedules	Running history of the tuition and fee increases. It may include justification for the increase		Perm		Perm	AVP for Enrollment
FAD02	Audits	Federal and state audits.		CY+4		5	Financial Aid
FAD03	Contracts	Contracts with California Student Aid Commission and Federal Student Aid Program. Contains participation agreement and documentation related to the agreement	Yes	EX+5		EX+5	Financial Aid
FAD04	Correspondence to Caltech Students or Candidates	Related to financial aid or admission issues Organized by year		CY+6		7	AVP for Enrollment
FAD05	Endowment Scholarships	Identifies the donor, when donor started donations, amount of donation, requirements of scholarship, etc.		Act+6		Act+6	Financial Aid
FAD06	Financial Aid Management Data	Shows student profile, application, answers to financial questions, taxes, W2s 1099s, Verification Worksheet and CIT Supplemental Form. Used to analyze the data of eligibility need. Organized by year and student within year		CY+11		12	Financial Aid
FAD07	Student Financial Aid Records	Documentation including but not limited to: application for financial aid, correspondence in reference to the award letters, Student Aid Reports (SAR), notes, outside scholarship information, etc.		AT+6		AT+6	Financial Aid
FAD08	Student Rosters	Identifies students who are eligible for California grants		CY+7		8	Financial Aid

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
   of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	OFFICE OF RESIDENTIAL EXPERIENCE						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
REX01	Student Communications	Contains communications with students on various topics such as Caltech policies and approval for activities		CY+4		5	Office of Residential Experience
REX02	Student Reimbursement	Tracks all monies give to a student. Sows budget allocation and charges against the budget, excludes housing and meals		Act+5		Act+5	Office of Residential Experience

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	FACULTY IN RESIDENCE PROGRAM						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
RFR01	Programming	Materials related to residential programs including fliers, invitations, events, etc.		Act		Act	Faculty In Residence Program
RFR02	Student Interaction Logs	Daily and weekly logs of student interactions		CY+6		7	Faculty In Residence Program

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	RESIDENT ASSOCIATES						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
RRA01	Programming	Materials related to residential programs including fliers, invitations, events, etc.		Act		Act	Resident Associates
RRA02	Resident Associates Logs	Identifies all residents who live in each campus residence		Act		Act	Resident Associates
RRA03	Student (Resident Associates) Records	Contains applications, renewal letters, notes on the progress of how the student is doing in the house, applicant letter, assignment agreement, etc.		Act+1	9	Act+10	Resident Associates
RRA04	Student Interaction Logs	Daily and weekly logs of student interactions		CY+6		7	Resident Associates
RRA05	Student Resident History	Contains history of Resident Associates. Identifies time spent at Caltech, house affiliation, mailing address, etc.		Perm		Perm	Resident Associates/

California Institute of Technology
RECORDS RETENTION SCHEDULE

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	RESIDENTIAL LIFE COORDINATOR						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
RLC01	Conferences for Staff Development	All documentation gathered when coordinators visit conferences to recruit employee positions and staff development		Act		Act	Residential Life Coordinator
RLC02	Programming	Materials related to residential programs including fliers, invitations, events, etc.		Act		Act	Residential Life Coordinator
RLC03	Recruitment Records	Contains search committee information, applications, interview notes and final recommendations		CY+1		2	Residential Life Coordinator
RLC04	Student Interaction Logs	Daily and weekly logs of student interactions		CY+6		7	Residential Life Coordinator
RLC05	Student Records	Contains accommodation needs, service and emotional support animals, allergies, dietary restrictions, rooming list, etc.		AT+1		AT+1	Residential Life Coordinator

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	STUDENT ACTIVITIES & PROGRAMS						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
RSA01	Class Training Materials	Contains course outline/curriculum and students' names, original results and data, interpretations for the team. If graded, forwarded to Registrar's Office		Act		Act	Students Activities & Programs
RSA02	Pranks	Including but not limited to: discussions and details about the prank, media clippings, etc.		Perm		Perm	Students Activities & Programs
RSA03	Student Clubs & Organizations	Records on registration, activities, funding, reimbursement requests, student participation rosters, and leadership roster by club. Events records organized by club		CY+6		7	Students Activities & Programs
RSA04	Student Events	Contains event form that shows everything about an event such as what, where, requested by, budget, receipts, etc.		CY+6		7	Students Activities & Programs

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
   of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	PERFORMING & VISUAL ARTS						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
PVA01	Course Records	Contains course outline and attendees		Act		Act	Performing & Visual Arts
PVA02	Fund Raising Deposits	Contains copy of checks received from donors and remittance envelopes as a result of fund raising		CY+6		7	Development
PVA03	Gift Accounts	Performing Visual Arts data that contains concert, publicity, and donor information s		Perm		Perm	Performing & Visual Arts
PVA04	Memorandum of Understanding	Records of shared facilities and collaboration with organizations outside Caltech. Includes correspondence and back-up documentation	Yes	EX+7		EX+7	Performing & Visual Arts
PVA05	Programs	Contains concert and theatre programs, audio recordings, and videos of plays		Perm		Perm	Performing & Visual Arts
PVA06	Roster Data	Music, theater or visual arts participant logs of students, faculty and staff		Act		Act	Performing & Visual Arts
PVA07	Student Records	Contains grades that are forwarded to Registrar's Office		AT+7		AT+7	Performing & Visual Arts
PVA08	Work Study Records	Contains the Student Employee Data Sheet, and may contain emails from students advising the number of hours worked. Hours are entered into Kronos timekeeping system which is maintained by Payroll		AT+7		AT+7	Performing & Visual Arts

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	REGISTRAR						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
REG01	Academic Transcript Record	In paper format and online since 2006	Yes	Perm		Perm	Registrar
REG02	Audit Authorizations	For people in the community who want to audit the class, this is a permission to be on the campus		CY+6		7	Registrar
REG03	Catalogs	Lists all classes, rules, and regulations		Perm		Perm	Registrar
REG04	Commencement Programs	Lists all prizes awarded to graduates, their home town, and PhD thesis title		Perm		Perm	Registrar
REG05	Final Graded Class Sheets	Organized by year and term for all students. Shows final grades assigned		Perm		Perm	Registrar
REG06	Grade Changes	Organized by course. Received from an instructor when a grade is changed		Perm		Perm	Registrar
REG07	Graduation Lists	Organized by year. Lists all students who graduated with a bachelor, master, PhD or Engineering Degree		Perm		Perm	Registrar
REG08	Hold or Encumbrance Authorizations	A hold placed by the Bursar's Office. Retained until hold or encumbrance is released		Act		Act	Registrar
REG09	Patent Agreements	Patents approved during the course of study at Caltech	Yes	Perm		Perm	Registrar
REG10	Registration, Drop/Add Forms	Organized by alpha, by term. Makes changes to a schedule, drop, or add a class		CY+2		3	Registrar
REG11	Schedule of Classes	Shows the courses offered every term, courses taught by day and name, and instructor's name		CY+6		7	Registrar
REG12	Statistics	Various statistics gathered on issues such as degree statistics, enrollment statistics, race/ethnicity statistics, etc.		Perm		Perm	Registrar
REG13	Student Data	Contains biographic/demographic student information as well as academic data	Yes	Perm		Perm	Registrar

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
REG14	Student Folder (Paper folders and imaged documents)	Contains records forwarded from the Admission Office and Graduate Studies Office and records generated during the student's course of study at Caltech. Documentation including but not limited to: acceptance letters, advanced placement records, Applications for Admissions, Entrance Examinations Reports and tests, high school and other college transcripts, student waivers for right of access to see recommendation letters, relevant correspondence, Academic Action Authorizations (ineligibility/reinstatement), Admissions to Candidacy form, Change of Grade Authorization, Declaration of an Option/Change of Option, Degree Audit records, FERPA documents (releases/holds), Name Change Authorizations, petitions for special actions, petition for examination for PhD, stipend award letters, transfer credit evaluations, withdrawal/sabbatical authorizations, etc.		AT+1	6	AT+7	Registrar
REG15	Transcript Requests by Students/Receipts	Organized by alpha, by month. Requests that students send in via fax or U.S. Mail requesting a transcript be sent to a third party		CY+6		7	Registrar

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	STUDENT AUXILLARY SERVICES						
	CARD OFFICE						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
SCO01	Cardholder Data	Database that contains information on every cardholder – faculty, staff, students, and visitors. Shows name, affiliation, UID number, card number encoded on magnetic stripe, monies deposited on the card and its balance, and transactions using the card		CY+6		7	Caltech Card Office

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	DINING SERVICES						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
SDS01	Deposit Slips	Cover sheet showing the total amount deposited each day. Packet is picked up by third party and deposited at the bank		CY+6		7	Dining Services
SDS02	Dining Room Transactions	Shows dining room transactions using cash or I.D. card		CY+6		7	Dining Services
SDS03	Invoices for Events	Invoices for catering services that the Dining Room provides to anyone on campus		CY+6		7	Dining Services
SDS04	Menus	Menus for the week		Act		Act	Dining Services
SDS05	Student Records	Meal accommodations such as menus, allergies, dietary restriction, etc.		AT		AT	Dining Services

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	HOUSING						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
SHO01	Cash Receipts	Deposit form that shows the amount, date, copies of checks and credit card receipts. Forwarded to the Credit Union		CY+6		7	Housing
SHO02	Maintenance Records	Contains inspection records completed at move in and move out of tenant		CY+6		7	Housing
SHO03	Security Deposit Authorization Form	Referred to at the end of the lease. Used to charge to a student's account, if necessary		CY+6		7	Housing
SHO04	Student Lease File	Contains application, lease, and correspondence related to the lease		CY+6		7	Housing
SHO05	Student Records	Requests and approvals for special accommodations for service and emotional support animals, list of allergies, etc.		AT+7		AT+7	Housing
SHO06	Utility Bills	Includes gas, phone, water, and power utilities. Scanned and entered into the shared Housing server. Paper is shredded after scanning. Electronic data retained 7 years		CY+6		7	Housing
SHO07	Work Order System	Shows history of repairs and maintenance performed on the property		CY+6		7	Housing

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	RETAIL STORE						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
SRE01	Credit Card Transactions	Copy of every Master Card or Visa transaction. Organized by date		CY+1		2	Retail Store
SRE02	Point of Sale and Inventory	Tracks all sales, inventory and purchasing		CY+6		7	Retail Store

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
   of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Inactive Storage	Total	Owner Department/ Office of Record
	STUDENT WELLNESS SERVICES						
	COUNSELING SERVICES						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
SCS01	Annual Reports	Summary of health and counseling utilization data. Identifies observations, staffing trends, etc.		Perm		Perm	Counseling Services
SCS02	CARE Team	Care team referrals, case management notes and related documentation		AT+7		AT+7	Counseling Services
SCS03	Consultant Services	Monthly invoices and payment requests		CY+1	5	7	Counseling Services
SCS04	Counseling Center Records	Summary data that contains individual student names, and number of visits. Used to create statistical reports and history of utilization		Perm		Perm	Counseling Services
SCS05	Student Counseling Records	Documentation including but not limited to: initial information sheet, consent for treatment, copy of the policy, records of medication prescribed or distributed by the psychiatrist or therapist, psychiatrist notes, releases, etc. Retained 7 years after the student has reached 18 years of age		AT+7		AT+7 or age of majority whichever is longer	Counseling Services
SCS06	Anonymous Student Feedback	Anonymous feedback from students after they have met with a counselor		CY+5		6	Counseling Services
SCS07	Student/Administration Evaluation	Notes taken during an evaluation of a student		AT+7		AT+7	Counseling Services

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
   of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	HEALTH SERVICES						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
WHS01	Annual Report	Submitted to Counseling Center that is incorporated in the annual report which is retained indefinitely		Perm		Perm	Health Services
WHS02	Flu Clinic Consent	Signed forms verifying they received and consented to the vaccine		CY+6		7	Health Services
WHS03	Health File	Student medical health chart that contains physical health form completed before admission, vaccination records, evaluation by specialists, x-rays, lab work, summaries, referrals, prescriptions, etc.		AT+7		AT+7or age of majority whichever is longer	Health Services
WHS04	Anonymous Student Feedback	Anonymous student feedback after they have met with a health professional		CY+5		6	Health Services

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	OCCUPATIONAL THERAPY SERVICES						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
WOT01	Occupational Therapy Records	Screening, consultation sessions and summary recommendations		AT+7		AT+7 or age of majority whichever is longer	Occupational Therapy Services
WOT02	Workshop Information	Curriculum, attendees, schedules, etc.		Act		Act	Occupational Therapy Services

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	STUDENT ADVOCATE PROGRAMS						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
WSA01	Class Records	Covers CPR, First Aid, Crisis management training		AT+7		AT+7	Student Advocate Programs
WSA02	Training Application	Student application that evaluates appropriateness for them to attend the class		AT+7		AT+7	Student Advocate Programs
WSA03	Training Curriculum	Health advocates and peer advocate training curriculum		CY+6		7	Student Advocate Programs

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

California Institute of Technology
RECORDS RETENTION SCHEDULE

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	UNDERGRADUATE ADMISSIONS						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
WUA01	Ad Hoc Grant Proposals & Awards	E.g. outreach program to high school and middle schools. Contains proposal, annual reports, and additional information from schools regarding outcomes		CY+19		20	Undergraduate Admissions
WUA02	Admission Records – Admitted	Organized by student. Contains application, home address, parent information, standardized test scores, essays, transcripts, and letters of recommendation		CY+6		7	Undergraduate Admissions
WUA03	Admission Records – Denied	Organized by student. Contains application, home address, parent information, standardized test scores, essays, transcripts, and letters of recommendation		CY+6		7	Undergraduate Admissions
WUA04	Admission Records – Enrolled	Organized by student. Contains application, home address, parent information, standardized test scores, essays, transcripts, and letters of recommendation. Forwarded to Registrar's office and retained there 7 years after the student's graduation		Act		Act	Registrar = 7 years
WUA05	Advisory Reports & Audits	Reports from outside groups, peer reviews, etc. that make recommendations for improvement		Act		Act	Undergraduate Admissions
WUA06	Recruitment Data	Contains student demographic information, test scores, contact information, etc.		CY+4		5	Undergraduate Admissions

California Institute of Technology
RECORDS RETENTION SCHEDULE

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
	VICE PRESIDENT FOR STUDENT AFFAIRS OFFICE						
ADM	Administrative & Common Records	*Refer to Administrative & Common Records List – Pages 1-3*					
VPS01	Awards, Fellowships and Scholarships	Correspondence with internal and external stakeholders, recipient information and award amounts		CY+4		5	Vice President for Student Affairs Office
VPS02	Board of Trustees	Contains minutes, agenda, roster for Student Experience Committee		Perm		Perm	Vice President for Student Affairs Office
VPS03	Catalog	Plans and changes to all Student Affairs related information in the catalog		CY+2		3	Vice President for Student Affairs Office
VPS04	Constitution Day	Materials related to federal reporting requirements for Constitution Day		CY+1		2	Vice President for Student Affairs Office
VPS05	Emergency/Crisis Management	Plans and materials related to campus-wide emergency response		SU		SU	Vice President for Student Affairs Office
VPS06	Facilities Information	Includes renovation details, equipment logs, replacement logs, preventative maintenance schedule and vendor information		LE		LE	Vice President for Student Affairs Office
VPS07	Faculty In Residence Applications	Application and materials for candidates to the faculty in residence program		CY+3		4	Vice President for Student Affairs Office
VPS08	Faculty In Residence History	List of all Faculty In Residence at Caltech. Includes residents' location and dates		Perm		Perm	Vice President for Student Affairs Office
VPS09	Faculty In Residence Records	Contains appointment letter, reimbursement history, assignment house, etc. for faculty members		Act+10		Act+10	Vice President for Student Affairs Office
VPS10	Leadership Rosters	List of students in leadership roles for ASCIT (Associated Students of the California Institute of Technology), Interhouse Committee and Graduate Student Council, etc.		Perm		Perm	Vice President for Student Affairs Office
VPS11	Moore-Hufstedler Fund	Proposals, records management communication, correspondence, recommendations		CY+9		10	Vice President for Student Affairs Office

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years

Item No.	Records Series Title	Records Series Description	Vital	Retention Active Office	Retention Inactive Storage	Total	Owner Department/ Office of Record
VPS12	New Student Orientation	Schedule, logistics, curriculum outline		CY+2		3	Vice President for Student Affairs Office
VPS13	Policies & Procedures	Related materials for Student Affairs Policies and departmental procedures		Perm		Perm	Vice President for Student Affairs Office
VPS14	Residential Experience	Advisory Committee on residential life		Act		Act	Vice President for Student Affairs Office
VPS15	Student Records	All documentation relating to appeal cases		AT+7		AT+7	Vice President for Student Affairs Office

Act = Active – Retain while active and still in use
AA = After Audit. Retain for a minimum of 7 years. If audit is open, at the end
    of 7 years, retain until audit is closed
AT = After Termination of Employee or Separation of Student
CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
LE = Life of Equipment
LJ = Life of Project
Perm = Retain permanently
PC = Destroy 6 years 3 months after close of Prime Contract

PT = Passes To next department for processing or ownership
SU = Superseded (when new copy/revision arrives, destroy old copy)
WU = While Useful (Short term, 5 minutes up to 1 year)
Numerics = Represents number of years