

California Institute of Technology

RECORDS RETENTION SCHEDULE

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RECORDS RETENTION SCHEDULE

Effective Date: September 1, 2011

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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.
OR
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.
OR
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.

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Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
	ADMINISTRATIVE & COMMON RECORDS	<i>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.</i>					
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	Includes current topics about Caltech or JPL		WU	--	WU	Any Department
ADM03	Budget	Annual budget (copy)		CY+2	--	3	Budget = Permanent
ADM04	Calendars or Daytimers	Monthly and annual calendars of personal appointments		WU	--	WU	Any Department or Staff Person
ADM05	Correspondence – General and Chronological File	Includes correspondence written or received of a general nature		CY+2	--	3	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	E-Mail – Not categorized in folders	Inbox and Send Folder. This e-mail guideline is “Best Practices” and enforced by individuals rather than Information Management Systems & Services (IMSS)		30-180 days	--	30-180 days	IMSS
ADM08	Expense Reports – Copy	Completed by employee for reimbursement of expenses incurred on behalf of Caltech		WU	--	WU	Accounting = 7
ADM09	Fax Transmittal Sheet	Cover sheet to any piece of correspondence. Attached to the correspondence it relates to		WU	--	WU	Any Department or Staff Person
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

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 AT = After Termination of Employee
 CY = Current Year

EX = Expiration of Contract, Agreement, Lease, Bond or Award
 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 copies)
 WU = While Useful (Short term, 5 minutes up to 1 year)
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ADM13	Manuals	All instruction manuals that are step-by-step instructions on how to complete a job function		SU	--	SU	Any Department
ADM14	Meeting Minutes & Notes	Staff minutes and notes for general team and committee meetings – not Board of Trustees		WU	--	WU	Any Department
ADM15	Personnel Records	Department's copy of a personnel file. When employee terminates, file is forwarded to Human Resources within 30 days		AT	--	AT	Human Resources = AT+5
ADM16	Policies and Procedures	Policies and procedures specific to an area		SU	--	SU	Any Department
ADM17	Presentations and Speeches	Any presentations or speeches made to internal or external groups		Act	--	Act	Any Department or Staff Person
ADM18	Record Storage Log	Shows records shipped to offsite storage		Perm	--	Perm	Any Department
ADM19	Reference, Research or Resource Materials	Includes brochures, books, or reference materials purchased or received in the mail		WU	--	WU	Any Department or Staff Person
ADM20	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
ADM21	Resumes	Resumes of potential employees who were not hired but interviewed (copies)		WU	--	WU	Human Resources = 2
ADM22	Seminar or Training Materials	Materials received at seminars or training programs		WU	--	WU	Each Department
ADM23	Significant Events	Reports forwarded to managers regarding the status of an organization's activities. References the weekly significant events		WU	--	WU	Any Department
ADM24	Special Projects	Includes any documentation connected with a special project that is <i>not</i> a government or construction project. Data includes correspondence, graphs, statistical data, reports, etc.		LJ+3	--	LJ+3	Any Department or Staff Person

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ADM25	Trade Association Materials	Contains information gathered at trade association general meetings and annual conferences		Act	--	Act	Any Department
ADM26	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
ADM27	Timekeeping	Documents hours worked and leave accrued. Payroll retains the official copy		CY	--	1	Payroll = 7
ADM28	Vendor Files	Contains an overview of the services the vendor provides, brochure, contact information, etc.		Act	--	Act	Any Department
ADM29	Working Files	Contains miscellaneous reports, correspondence, and reference materials to complete a job		Act	--	Act	Any Department

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BUSINESS & FINANCE							
	ATHENAEUM						
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
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 such as night auditor's advice of what will be deposited and reconciliation		CY+6	--	7 or AA	Athenaeum
ATH03	Delphi:	Electronic private events and catering system. Shows the set-up for the event, what is ordered, how many persons, records payments, etc.	Yes	CY+4	--	5	Athenaeum
ATH04	Event/Banquet Contracts	Contains copy of the contract, addendum, and associated correspondence. Original contract retained by Office of General Counsel		EX+1	6	EX+7	Athenaeum
ATH05	Hotel Registration Cards	Information about guest registrations		3 mo	--	3 months	Athenaeum
ATH06	Hotel Status Reports	Reports pulled from NorthStar and Innfinity 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 or AA	Athenaeum
ATH08	Memberships to Athenaeum	Contains application, termination, and changes. Information retained electronically in NorthStar		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	NorthStar/INNfinity:	Electronic system for hotel operations. Contains hotel folios and billing records. Hard copy can be destroyed after data entry	Yes	CY+6	--	7 or AA	Athenaeum

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ATH11	POS Receipts and Manual Chits	Source documents for entering the Point of Sale data into NorthStar system		CY+1	--	2	Athenaeum
ATH12	Publicity Collateral	Contains invitations, newsletters, fliers, brochures, etc.		CY+9	--	10	Athenaeum

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AUDIT SERVICES AND INSTITUTE COMPLIANCE (ASIC)							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
AUD01	Compliance/Advisory Projects	Contains work papers, project deliverables, and support documentation		LJ+7	--	LJ+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+3	4	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	Help Line	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

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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
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+2	4	7	ASIC

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FACILITIES							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					

FACILITIES GENERAL							
FAC01	Asbestos Abatement	All records relating to asbestos abatement		Perm	--	Perm	Facilities Management Design & Construction
FAC02	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

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DESIGN & CONSTRUCTION							
FAC03	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
FAC04	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
FAC05	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
FAC06	Famis: Capital Projects	Used to track projects	Yes	CY+4	--	5	Design & Construction
FAC07	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
FAC08	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

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FINANCE (For Facilities)							
FAC09	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
FAC10	Financial Statements	Pulled from Oracle that shows expenditures on all Facilities operations. Original retained by Finance		CY+2	--	3	Finance
FAC11	Leases	Building lease, amendments, and related correspondence	Yes	EX+7	--	EX+7	Facilities Finance
FAC12	Oracle:	Contains anything paid to Caltech outside vendors	Yes	Perm	--	Perm	Facilities Finance
FAC13	Reconciliations – Year End	Reviewed, approved, and forwarded to Accounting who retains the original		CY+2	--	3	Accounting

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FACILITIES MANAGEMENT							
FAC14	Air and Gas Emissions/Usage	Logs that tracks refrigeration usage, emissions monitoring, etc. Available for inspection by Air Quality Management District (AQMD)		CY+4	--	5	Facilities Management
FAC15	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, inventories, plant consulting, correspondence, and related records. Retain for life of facility, grounds, and life of trees		Act+7	--	Act+7	Facilities Management
FAC16	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 Management
FAC17	Chauffeur Records	Documentation regarding charge backs for the chauffeur services. Entered into Famis		CY+1	--	2	Facilities Management
FAC19	Equipment Records	Contains manuals, specifications, and maintenance performed on the equipment. Retain for life of equipment plus 5 years,		Life of Equip+5	--	Life of Equipmen t+5	Facilities Management
FAC20	Famis: CMMS	Contains work order system, service requests, and history of maintenance on equipment	Yes	Life of Equip+5	--	Life of Equipmen t+5	Facilities Management
FAC21	Gasoline and Diesel Usage	Shows all purchases and distribution of petroleum on campus		CY+4	15	20	Facilities Management
FAC22	Key Inventory	Organized by person. Shows the keys that are assigned to persons		AT	--	AT	Facilities Management
FAC23	Key Log	Daily check in and out of keys		CY+1	--	2	Facilities Management

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FAC24	Manuals	Operational and Maintenance Manuals received from the contractor		Life of Equip	--	Life of Equipment	Facilities Management
FAC25	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
FAC26	Operators Logs	Logs daily operations on campus including but not limited to: answers off and on campus trouble calls, starting equipment, night orders instructions to operators, night time service call log, etc.		CY+1	--	2	Facilities Management
FAC27	Physical Inventory of Stock Room	Inventory completed each year of stock room equipment and products		CY+2	4	7 or AA	Facilities Management
FAC28	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
FAC29	Shipping & Receiving Log Books	Various logs that tracks incoming and outgoing deliveries		CY+1	--	2	Facilities Management
FAC30	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
FAC31	Shipping Receipts (also known as Waybills)	Shipping receipts from UPS, FedEx, Air Bourne, etc.		WU	--	WU	Facilities Management
FAC32	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
FAC33	Underground Storage Tank Log	Shows levels of tank storage and periodic testing		CY+4	--	5	Facilities Management

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FAC34	Utility Bills	Actual bill from utility companies (gas, water, and electric) that shows the details of usage. Copy of cover sheet forwarded to Accounting for payment. Back-up retained in department		CY+2	4	7 or AA	Facilities Management
FAC35	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

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GRAPHICS & MAIL SERVICES							
FAC36	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
FAC37	Contracts	Contracts for mail services with U.S. Postal Service and FedEx		EX+7	--	EX+7	Graphics & Mail Services
FAC38	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
FAC39	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
FAC40	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
FAC41	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
FAC42	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

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ENVIRONMENTAL, HEALTH AND SAFETY (EH&S)							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
FAC43	Air Emissions Report	Annual report to South Coast Air Quality Management District (SCAQMD) under Title 5		CY+4	--	5	EH&S
FAC44	Asbestos Testing	Testing of buildings with potential problems and includes the floor, wall, and ceilings		Perm	--	Perm	EH&S
FAC45	Business Plan	One plan for each building and filed with the City of Pasadena		SU	--	SU	EH&S
FAC46	Calibration Records	Organized by equipment and performed periodically but at least annually		LE+5	--	LE+5	EH&S
FAC47	Committee Records	Contains meeting minutes of Bio Safety Committee, and Radiation Safety Committees	Yes	Perm	--	Perm	EH&S
FAC48	Emergency Preparedness Plan	Step by step plan on what to do in the event of an emergency		SU	--	SU	EH&S
FAC49	Environmental Audit	Documentation gathered in preparation of an audit		SU	--	SU	Audit Services
FAC50	Facilities Inspection	Inspection records of the buildings for radiation, asbestos, lead, and OSHA reportable incidents		Perm	--	Perm	EH&S
FAC51	Fit Testing	Respirator test performed on employees in specific areas. Organized by employee		AT+5	--	AT+5	EH&S
FAC52	Hazardous Waste Manifests	Contains biological, electronic, and medical waste manifests		Perm	--	Perm	EH&S
FAC53	IIPP	Illness Prevention Program for the campus		Life of facility	--	Life of facility	EH&S
FAC54	Incident Investigations	Contains root cause analysis and conducted to avoid future events		Perm	--	Perm	EH&S
FAC55	Indoor Air Quality Testing	Tests temperature, CO2 levels and humidity		Perm	--	Perm	EH&S

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FAC56	Leak Tests	Performed on radioactive sources		Perm	--	Perm	EH&S
FAC57	Measurements	Measurements on fume hoods per CalOSHA		CY+4	--	5	EH&S
FAC58	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
FAC59	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
FAC60	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
FAC61	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
FAC62	Safety Training Curriculum	Contains agenda and PowerPoint presentation		CY+4	--	5	EH&S
FAC63	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

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SECURITY							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
FAC64	Access: Win-Pak	Card access system. Keeps a running cumulative record of building access	Yes	CY+6	--	7	Security
FAC65	Annual Report	Reports all required incidents to the Federal Department of Education		CY+6	--	7	Security
FAC66	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
FAC67	Department of Defense Records	Contains classified material. Retention based upon the direction from Department of Defense (DoD)		Perm	--	Perm	Security
FAC68	Digital Recordings	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
FAC69	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

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FAC70	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
FAC71	Parking Records	List of all persons assigned a parking pass. Shows car pool assignments, reserved parking, commuter, etc.		CY+2	--	3	Security

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HUMAN RESOURCES							
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ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
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 – Interviewed	Contains Applicant Information Form for candidates who interview. Data entered into Ceredian Recruiting Solutions (CRS) software (applicant tracking system)		CY+2	--	3	Human Resources
HUM05	Applications – Not Interviewed	Contains Qualification Summary for candidates who walk in and do not have access to a computer to enter data into Ceredian Recruiting Solutions software. Information from this form is entered into CRS by Caltech HR staff		WU	--	WU	Human Resources
HUM06	ATS: (Job Applicant Tracking System)	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	Yes	CY+4	--	5	Human Resources
HUM07	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
HUM08	Benefits Handouts	Describes various benefits that is distributed to employees		SU	--	SU	Human Resources
HUM09	Bonus and Performance Rewards	Analysis for distributing bonuses and performance budgets		CY+2	4	7 or AA	Human Resources

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HUM10	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	4	AT+5	Human Resources
HUM11	Compensation Records	Contains job classification, documentation on positions and evaluation for compensation and reclassification, job descriptions, job class codes or groups		SU+5	--	SU+5	Human Resources
HUM12	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+5	--	AT+5	Human Resources
HUM13	Drug Screening	Pre-employment drug screening tests. Retained 5 years after test		Date of creation	5	Date of creation+5	Human Resources
HUM14	Faculty Records	Contains patent agreement, direct deposit, and benefits enrollment	Yes	Perm	--	Perm	Human Resources
HUM15	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	Human Resources
HUM16	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 n+ 3	--	Date of Creation+ 3	Human Resources

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HUM17	Immigration Files	Organized by person and by immigration status which is either F, J, TN, O, H1, or green card status. Contains all entry documentation and may contain immigration application, if required. Retain 5 years from the date of filing the <i>Application for Permanent Employment Certification</i>		Date of filing + 5	--	Date of filing + 5	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
HUM19	Job Files	Contains copy of requisition, notes, copy of resume, interview schedule		CY+2	--	3	Human Resources
HUM20	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	4	AT+5	Human Resources
HUM21	LMS: Learning Management System	Contains staff education and career development information. Organized by person. Shows all the classes each employee attends	Yes	AT+5	--	AT+5	Human Resources
HUM22	New Employee Orientation	Contains agenda and activities worksheets		SU	--	SU	Human Resources
HUM23	New Employee Orientation Log	Shows who attended the orientation program and the supervisors who attended the lunch		CY+4	--	5	Human Resources
HUM24	Oracle: Human Resources	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	Perm	--	Perm	Human Resources

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HUM25	Organizational Structure	Shows structure of offices and departments. May include back-up data such as program documentation and project data		SU+15	--	SU+15	Human Resources
HUM26	OSHA 300 Log	Lists the accidents, days lost, frequency. Retained in CompWatch database	Yes	Perm	--	Perm	Human Resources
HUM27	Patent Agreements – Staff	Patent agreements signed by employees at Caltech.	Yes	Perm		Perm	Human Resources
HUM28	Performance Reviews & Appraisals	In Oracle or personnel file		AT+1	4	AT+5	Human Resources
HUM29	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, confidentiality agreement, direct deposit forms, handbook acknowledgement form, benefit waiver if less than 4 months, hire-on bonus agreement, relocation agreement, conflict of interest a.k.a. Application for Outside Employment, 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	4	AT+5	Human Resources
HUM30	Personnel Pre-employment Medical Form	Physical exam of employees before hiring when the position requires a pre-employment medical exam	Yes	AT+1	4	AT+5	Human Resources
HUM31	Policies and Procedures	In paper and electronic format. Policies and procedures for Caltech. One copy of each version retained permanently	Yes	Perm	--	Perm	Human Resources
HUM32	Relocations	Contains all of the travel and expense records related to relocation for individual employees		CY+2	4	7 or AA	Human Resources
HUM33	Salary and Market Surveys	Includes salary and market surveys received as well as solicited		CY+4	--	5	Human Resources

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HUM34	Service Awards	A list of persons receiving an award based upon years of service		CY+4	--	5	Human Resources
HUM35	Subpoenas	Subpoenas received requesting employee information		CY+4	--	5	Human Resources
HUM36	Sexual Harassment Log	Sign-in sheet that shows who attended the sexual harassment training		CY+4	--	5	Human Resources
HUM37	Training Courses	For classes taught in-house. Contains course curriculum and handouts to attendees		SU	--	SU	Human Resources
HUM38	Tuition Reimbursements	Organized by person. Contains application, description of course, request for funds, grade sheets, and supporting documentation		AT+5	--	AT+5	Human Resources
HUM39	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 or AA	Human Resources
HUM40	Verification of Employment	Contains verification of employment release forms signed by the employee and copies of the verification of employment letters		CY+1	--	2	Human Resources
HUM41	Windstar:	Calculates federal taxes and withholding for international employees	Yes	CY+6	--	7 or AA	Human Resources
HUM42	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
HUM43	Workers' Compensation Reports	Received from the third party administrator that shows the number of outstanding claims and their		Act	--	Act	Human Resources

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BENEFITS							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
HUM44	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 or AA	HR – Benefits
HUM45	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	
HUM46	Benefit Vendor Files	Records for each benefit provider, carrier, or vendor		CY+2	4	7 or AA	
HUM47	COBRA Records	COBRA notices and responses are not kept in the Personnel File; they are kept in a separate file/binder		CY+2	--	3	HR – Benefits
HUM48	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 or AA	
HUM49	Eligibility Reports	For health plans such as Blue Cross. Used to reconcile. Completed on a per payroll basis		CY+2	4	7 or AA	HR – Benefits
HUM50	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

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HUM51	Mercer Reports	Financial reports received annually on post retirement, health, and non-discrimination testing		CY+2	4	7 or AA	HR – Benefits
HUM52	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
HUM53	Qualified Medical Support Orders (QMSO)	Records related to medical support ordered by a court		Act +7	--	ACT+7	
HUM54	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 or AA	HR – Benefits
HUM55	Retiree Benefit File	Contains all of the benefit elections, life insurance specific to the retirement, and changes that may be elected during retirement. <i>Retain file until death plus 5 years</i>		Death+5	--	Death+5	HR – Benefits
HUM56	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
HUM57	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

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	PAYROLL						
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
HUM58	1099 Forms	Issued to contractors and fellowship individuals annually		CY+2	4	7 or AA	Payroll
HUM59	Annual Reconciliation	Recap of the calendar year of dollars expended on payroll		CY+2	4	7 or AA	Payroll
HUM60	Annuities	Contains information about the contributions made by individuals to the retirement plan		Perm	--	Perm	Payroll
HUM61	Audits	Contains sample of audit documentation, responses, reply, and final report		CY+4	--	5	Payroll
HUM62	Bank Reconciliations	Completed monthly		CY+2	4	7 or AA	Payroll
HUM63	Bi-Weekly Payroll	Source documents that are input into Kronos, if necessary		CY+2	4	7 or AA	Payroll
HUM64	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
HUM65	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
HUM66	General Ledger Fiscal Close	Year end balances with Oracle and accounts for unbalancing		CY+2	4	7 or AA	Payroll
HUM67	Kronos:	Timekeeping system. Employees enter their time into this system	Yes	CY+6	--	7 or AA	Payroll
HUM68	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

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HUM69	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
HUM70	Quarterly Tax Returns	Issued to federal and state governments		CY+2	4	7 or AA	Payroll
HUM71	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
HUM72	W-2 Forms	Issued annually to employees		CY+2	4	7 or AA	Payroll

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INFORMATION MANAGEMENT SYSTEMS & SERVICES (IMSS)							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
IMS01	Access Caltech:	Shows what people have access to specific systems	Yes	SU	--	SU	IMSS
IMS02	Altiris:	Client management program. Contains inventory management information	Yes	Perm	--	Perm	IMSS
IMS03	Back-up – Daily	Differential back-up that contains cumulative data of all business and finance systems excluding Oracle	Yes	½ to 1 week	1 mo	1 month	IMSS
IMS04	Back-up – Daily (Oracle)	Full back-up of Oracle data. Retained onsite for 1 week, offsite 2 weeks, then returned to tape library for 1 week for a total of 1 month	Yes	1 week	3 weeks	1 month	IMSS
IMS05	Back-up – Weekly	Full back-up that contains cumulative data of all business and finance systems excluding Oracle	Yes	½ to 1 week	1 mo	1 month	IMSS
IMS06	Contracts	Contains copy of the contract with software licensing, hardware, leasing, and service vendors. In paper and electronic format		EX	--	EX	Procurement
IMS07	E-Mail – Not categorized in folders	Inbox and Send Folder. This e-mail guideline is “Best Practices” and enforced by individuals rather than Information Management Systems & Services (IMSS)	Yes	30-180 days	--	30-180 days	Each Individual
IMS08	Remedy:	Legacy work order system. Migrated to T-REQS	Yes	Perm	--	Perm	IMSS
IMS09	T-REQS:	Work order system that contains work order tickets, problem and resolution	Yes	Perm	--	Perm	IMSS

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OFFICE OF FINANCIAL SERVICES							
ACCOUNTING SERVICES							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
ACC01	Bank Reconciliations	Monthly reconciliations for all bank accounts. Includes cancelled checks, if still available		CY+1	5	7 or AA	Accounting Services
ACC02	Cash Receipts	Recording of cash receipts in Oracle		CY+1	5	7 or AA	Accounting Services
ACC03	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
ACC04	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
ACC05	Donor & Pledge Agreements	Contains Gift & Endowment Agreement and Trust Agreements	Yes	CY+5	Perm	Perm	Accounting Services
ACC06	Donor & Pledge General Activity Records	Contains cost transfers, budget, donor reporting, tax reporting, etc.		CY+6	--	7	Accounting Services
ACC07	Endowment Pool Accounting	On Excel. Tracks the investments		Perm	--	Perm	Accounting Services
ACC08	Financial Statements – Audited	Annual financial statements and pertinent back-up documentation	Yes	CY+1	Perm	Perm	Accounting Services
ACC09	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

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ACC10	Fixed Assets	Contains general ledger reconciliation and depreciation. Buildings are retained permanently		CY+1	Life of asset+6	Life of Asset+7	Accounting Services
ACC11	Forecasting	Data to support the Budget Office		CY+2	--	3	Accounting Services
ACC12	General Ledger	General ledger and all reconciliations	Yes	CY+1	5	7 or AA	Accounting Services
ACC13	Internal Control Documentation	Narratives of how transactions are supposed to flow, description of controls, policies, and procedures		S	--	S	Accounting Services
ACC14	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
ACC15	Oracle: Financials	Contains general ledger, closing journal entries, fixed assets	Yes	CY+6	--	7 or AA	Accounting Services
ACC16	Stock Gifts	Tracks the gifts of stock received, the original investment value, sale value, etc.		CY+1	5	7 or AA	Accounting Services
ACC17	Tax Audits	Contains the final audit report and supporting documentation	Yes	CY+5	5	10 or AA	Accounting Services
ACC18	Tax Memos	Summary of how tax decisions are made	Yes	Perm	--	Perm	Accounting Services
ACC19	Tax Return Back-up	Contains all the supporting documentation to the tax returns	Yes	CY+2	7	10 or AA	Accounting Services
ACC20	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
ACC21	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

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BURSAR'S OFFICE							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
BUR01	Cash/Student Receivable	Daily copies of deposit slips of all checks and cash sent to Credit Union or Bank of America including hand receipts. Daily reconciliation of A/R including cash/checks received by cashier/CASHNET		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

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BUDGET & PLANNING OFFICE							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
BUD01	Ad Hoc Studies	Special requests to complete projects such as endowment payouts, what if scenarios, etc. Contains request, analysis, and final report		CY+9	--	10	Budget & Planning
BUD02	Annual Budget Book	Submitted to the Board of Trustees. Includes financials and support narrative for each section		Perm	--	Perm	Budget & Planning
BUD03	Budget Support Documentation	Contains tables, charts, and reports that supports the annual budget book. Majority of data is stored electronically. Paper is submitted to storage after 10 years		CY+9	Perm	Perm	Budget & Planning
BUD04	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	Budget & Planning
BUD05	Contracts	Contracts and Memorandums of Understanding including but not limited to: contracts with NASA, JPL, Howard Hughes Medical Institute, or special contracts entered into with academic institutions		EX	--	EX	Issuing Department
BUD06	Institutional Research	Background information and surveys that supports the Common Data Set		Act	--	Act	Budget & Planning
BUD07	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
BUD08	Surveys	Surveys received that are completed and returned to sender		CY+9	--	10	Budget & Planning

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COST STUDIES							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
CST01	Cost Studies	Studies including but not limited to Forward Pricing Proposals, Effort Report, Space Studies, Federal Questionnaire Studies, Service Center Reviews, Lump Sum Proposals, Audit Support, Cost Analysis Studies as requested by management, etc.		CY+3	--	4	Cost Studies
CST02	F&A Rate Proposals – Details	Facilities and administrative overhead rates for government research on campus. Contains details regarding the rates such as computer models, spreadsheets, financial analysis, data sheets, etc.		CY+3	--	4	Cost Studies
CST03	F&A Rate Proposals – Summary	Facilities and administrative overhead rates for government research on campus. Contains summary information		CY+4	10	15	Cost Studies

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PROCUREMENT SERVICES							
PAYMENT SERVICES							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
PRO01	1099 Forms	Issued to independent contractors annually		CY+1	5	7 or AA	Payment Services
PRO02	1099 Reports	Reports that support how the 1099 decisions are made		CY+1	5	7 or AA	Payment Services
PRO03	Expense Reports	Reports that have a zero dollar balance		CY+1	5	7 or AA	Payment Services
PRO04	ImageNow:	Record Retrieval system that contains the scanned invoice and back-up documentation which allows Accounts Payable to obtain invoice approval via work flow	Yes	CY+6	--	7 or AA	Payment Services
PRO05	Oracle: Payables	Where payments are made. Entries feed into the Oracle Grants Module and General Ledger	Yes	CY+6	--	7 or AA	Payment Services
PRO06	Payment Voucher Packages	Documentation including but not limited to: non-negotiable check copies, approved invoices, payment requests, reimbursements, travel expense reports, receivers, etc. (Effective 10/1/07 payment vouchers are scanned)		CY+1	5	7 or AA	Payment Services
PRO07	Wire Transfers	Contains wire transfer reports with banking information, copy of the invoice payment request, or travel expense report along with back-up documentation		CY	6	7 or AA	Payment Services

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<i>PROPERTY & SUPPORT SERVICES</i>							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
PRO08	Oracle: Fixed Assets	Master record for fixed assets and depreciation schedule	Yes	Life of Asset+7	--	Life of Asset+7 or AA	Property & Support Services
PRO09	Property Equipment Files	Documentation including but not limited to: Office of Sponsored Research (OSR) award summary resume package, original fabrication request, title, special OSR reporting requirements (if applicable), related correspondence		Life of Asset+7	--	Life of Asset + 7 or AA	Property & Support Services
PRO10	Records Retention Box Listing	Summary inventory of the contents each box that is sent to Records Retention storage		Perm	--	Perm	Property & Support Services
PRO11	Supplier Records	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	Property & Support Services

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	<i>PURCHASING SERVICES</i>						
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
PRO12	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		CY+1	5	7 or AA	Purchasing Services
PRO13	Purchase Order Package – Federal 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)		CY+1	5	7 or AA	Purchasing Services
PRO14	Subcontracts	Contains purchase requisition, purchase order, contractual documents, and support documentation	Yes	EX	7	EX+7	Purchasing Services
PRO15	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	CY+1	5	7 or AA	Purchasing Services

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	<i>RISK MANAGEMENT</i>						
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
PRO16	Audits	Information regarding internal audits. Contains data forwarded to internal auditor		CY+2	--	3	Audit Services
PRO17	Certificates of Insurance	Received from contractors that verifies that they are covered with insurance		LJ+5	--	LJ+5	Risk Management
PRO18	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
PRO19	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
PRO20	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
PRO21	Insurance Carrier Records	Contains annual reports, documentation regarding their services, fact sheet on the coverage they provide, etc.		Act	--	Act	Risk Management
PRO22	Insurance Policies	All property and casualty insurance policies	Yes	Perm	--	Perm	Risk Management

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PRO23	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
PRO24	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
PRO25	Self Insure Permits	Received from the State of California with respect to vehicles		Perm	--	Perm	Risk Management
PRO26	Vehicle List	List of all vehicles that are owned by Caltech. Shows make, model, and department who uses the vehicle		SU	--	SU	Risk Management
PRO27	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
PRO28	Vehicle Certificates of Ownership	Contains all Caltech-owned vehicles Certificates of Title	Yes	Act+7	--	Act+7	Risk Management

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	TREASURY SERVICES						
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
TRE01	Batch Reconciliations	Edit report that reconciles daily activities		1 year	--	1 year	Treasury
TRE02	Batched Cash Receipts	Deposits made at the Credit Union. Contains copy of the check, cash receipts and all support back-up documentation. Organized by batch		3 mos	6.5	7 or AA	Treasury
TRE03	Benefit Billing Reports	Shows receipt of benefit billings		CY+2	--	3	Treasury
TRE04	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
TRE05	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
TRE06	Cash Projections	Completed weekly that shows cash projections for 1 month and the year. Contains all back-up documentation		CY+2	--	3	Treasury
TRE07	Closing Documents	Contains all the documentation required for a bond		WU	Perm	Perm	Treasury
TRE08	Compliance Certificate	Forwarded to California Educational Facility Authority (CEFA). Shows annual compliance with bond covenant	Yes	2	EX+5	EX+7	Treasury
TRE09	Construction Fund Requisition	Reimbursement capital expenditures with bond proceeds		2	EX+5	EX+7	Treasury
TRE10	Construction Progress Report	Forwarded to California Educational Facility Authority (CEFA) semi-annually as money is spent on the project		2	EX+5	EX+7	Treasury

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TRE11	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		2	EX+5	EX+7	Treasury
TRE12	Daily Cash Reports	Bank reports that are pulled from BofA Direct. Contains working documents that allow interaction with the auditors and customers		CY+1	--	2	Treasury
TRE13	Deposit Slip with Support	Received from the Credit Union when the deposit is made. Contains deposit slip and support voucher		CY	--	1	Treasury
TRE14	Due Diligence	Documentation provided to attorneys for bond due diligence		WU	Perm	Perm	Treasury
TRE15	Foreign Deposits	Deposits for foreign currency items		CY+2	4	7 or AA	Treasury
TRE16	Funding Directives	Memo authorizing line of credit activity. Contains original signatures		2	EX+5	EX+7	Treasury
TRE17	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
TRE18	Interest Rate Swap Invoices	Received monthly that settles the interest rate. Payment Services retains original		CY+1	--	2	Payment Services
TRE19	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
TRE20	Liquidity Report	Investment balances used to determine liquidity rating		CY+2	4	7 or AA	Treasury
TRE21	Loan Agreement and Promissory Notes	Lines of credit issued	Yes	EX+2	5	EX+7	Treasury
TRE22	Miscellaneous Receipts	Not organized by batch or petty cash; contains		6 mos	6.5	7 or AA	Treasury

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		items such as travel, graphic arts, etc.					
TRE23	Petty Cash Receipts	Receipt attached to documentation about the expenditure and forwarded to Payment Services for processing		PT	--	PT	Payment Services
TRE24	Reconciliations	Reconciliations of cash liability accounts, i.e., line of credit. Forwarded to Accounting Services		CY+2	--	3	Accounting Services
TRE25	SECTRAN	Armored car reports. Shows cash pick up and Cash delivery deposits from the dining room and book store. Information also shown on the bank report		CY	--	1	Treasury
TRE26	Supplemental Reports	Data submitted to rating agency who completes analysis for rating		CY+2	4	7	Treasury
TRE27	Wires and Draws	Contains original wire and draw request and support back-up documentation		CY+2	4	7 or AA	Treasury

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COMMITTEES							
COMMITTEE ON SPONSORED RESEARCH							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
CSR01	Committee Charter	Describes the committee's roles and responsibilities, advises the Provost and President on sponsored research and serves as a review board if there is a difference of opinion.		Perm		Perm	President
CSR02	Committee Member Information	Lists Caltech's faculty on the Committee. May contain CV (Curriculum Vitae), appointment letter and correspondence.		Act+4		Act+4	Committee on Sponsored Research
CSR03	Committee Policy	Policies unique to Sponsored Research.		Perm		Perm	Office of the Provost
CSR04	Meeting Agenda	Meeting agenda distributed to committee members prior to the meeting.		CY+9		10	Committee on Sponsored Research
CSR05	Proposals	Submitted by the Office of Sponsored Research. Reviewed prior to the meeting. Original retained by Office of Sponsored Research.		Act		Act	Office of Sponsored Research
CSR06	Summary of Committee Deliberations	Summary of Committee's recommendations, if there is a formal review.		CY+2		3	Committee on Sponsored Research

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INSTITUTIONAL BIOSAFETY COMMITTEE							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
IBC01	Committee Charter	Outlines the purpose, appointment process, membership, and reporting structure.		Perm		Perm	President's Office
IBC02	Committee Member Information	Contains member's CV (Curriculum Vitae), appointment letter, correspondence, etc.		Act+4		Act+4	Institutional Biosafety Committee
IBC03	Committee Policy	Institutional policies unique to Biosafety Committee.		Perm		Perm	Vice President – Business & Finance
IBC04	Meeting Agenda	Outline of what will be presented at the meeting including but not limited to: lists new projects, lists terminated projects, old business, new business, etc.		CY+9		10	Institutional Biosafety Committee
IBC05	Meeting Minutes	Shows attendees, identifies new projects with a brief description and status if approved or denied, modification to previously approved research, new business and old business.		CY+9		10	Institutional Biosafety Committee
IBC06	Protocols	Requires Institutional Biosafety Committee approval until the PI (Principal Investigator) advises when the project is terminated. Documentation including but not limited to: application and committee action letters, documentation of training, copy of questions, amendment and renewal forms with a project status description, incidents, etc. Retain 7 years after project is terminated or 7 years after funding whichever comes last.		LJ+1	LJ+6 yrs after funding	LJ+7 or 7 yrs after funding	Institutional Biosafety Committee
IBC07	Standard Operating Procedures (SOP)	Standard Operating Procedures.		SU+1 version		SU+1 version	Institutional Biosafety Committee

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INSTITUTIONAL REVIEW BOARD							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
IRB01	Committee Charter	Outlines the purpose, appointment process, membership, and reporting structure.		Perm		Perm	President's Office
IRB02	Committee Member Information	Contains member's CV (Curriculum Vitae), appointment letter, correspondence, etc.		Act+4		Act+4	Institutional Review Board
IRB03	Committee Policy	Institutional policies unique to human subjects.		Perm		Perm	Office of the Provost
IRB04	Meeting Agenda	Outline of what will be presented at the meeting including but not limited to: lists new projects, lists terminated projects, old business, new business, etc.		CY+9		10	Institutional Review Board
IRB05	Meeting Agenda Working Files	Contains application or memos from PI (Principal Investigator), copy of agenda, handouts that are forwarded to the committee members before the meeting, handwritten notes, list of attendees, drafts, check list of project, etc.		CY+9		10	Institutional Review Board
IRB06	Meeting Minutes	Shows attendees, identifies new projects with a brief description and status if approved or denied, modification to previously approved research, list of active protocols that were approved with no modifications, list of terminated projects with termination date, new business and old business.		CY+9		10	Institutional Review Board

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IRB07	Project – Exempt	Documentation including but not limited to: application and certificate that states the project is exempt, correspondence, emails, funding proposal, description of project, training certificate, copy of questions, may include Consent Form, incidents, initial approval from the committee and final approval from the committee. Retain 3 years after project is terminated or 5 years after funding whichever comes last.		LJ+1	LJ+2 or 5 yrs after funding	LJ+3 or 5 yrs after funding	Institutional Review Board
IRB08	Project – Non-Exempt	Requires IRB (Institutional Review Board) approval annually until the PI (Principal Investigator) advises when the project is terminated. Documentation including but not limited to: application and certificate that states the project is exempt, correspondence, emails, funding proposal, description of project, training certificate, copy of questions, annual review form with a project status description and current copy of Consent Form, incidents, initial approval from the committee, and final approval from the committee. Retain 3 years after project is terminated or 5 years after funding whichever comes last.		LJ+1	LJ+2 or 5 yrs after funding	LJ+3 or 5 yrs after funding	Institutional Review Board
IRB09	Standard Operating Procedures (SOP)	Standard Operating Procedures for Institutional Review Board Committee.		SU+1 version		SU+1 version	Institutional Review Board

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RADIATION SAFETY COMMITTEE							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
RSC01	Committee Charter	Outlines the purpose, appointment process, membership, and reporting structure.		Perm		Perm	President's office
RSC02	Committee Member Information	Contains member's CV (Curriculum Vitae), appointment letter, correspondence, etc.		Act+4		Act+4	Radiation Safety Committee
RSC03	Committee Policy	Policies unique to radiation protection.		Perm		Perm	Vice President Business & Finance
RSC04	Committee Proceedings/Minutes	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	Radiation Safety Committee
RSC05	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	Radiation Safety Committee
RSC06	Meeting Agenda	Outline of what will be presented at the meeting including but not limited to: lists new projects, lists terminated projects, old business, new business, etc.		CY+9		10	Radiation Safety Committee
RSC07	Program Review	Annual review of people, procedures, SOPs, and comparing license conditions.		CY+9		10	Radiation Safety Committee

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RSC08	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	Radiation Safety Committee
RSC09	Standard Operating Procedures (SOP)	Standard Operating Procedures.		SU+1 version		SU+1 version	Radiation Safety Committee

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ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
DAR01	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
DAR02	Millennium:	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
DAR03	Satellite:	Database contains limited information pulled from Millennium regarding alumni admissions and volunteers. Data retained until overwritten or deleted		SU	--	SU	Development & Alumni Relations

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GENERAL COUNSEL, Office of the							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
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

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INTELLECTUAL PROPERTY							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
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
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
OGC06	Trademark Registration – Abandoned	Application for trademark abandoned		Date of Abandon	--	Date of Abandon+1	Office of General Counsel
OGC07	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

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INVESTMENT OFFICE							
	INVESTMENT OPERATIONS						
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
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

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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

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INVESTMENTS – REAL ESTATE							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
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

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JPL – ACQUISITION		<i>All procurement records are destroyed 6 years 3 months after close of applicable prime contract. Listed below is an example of those records.</i>					
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
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

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JPL – ENVIRONMENTAL, HEALTH & SAFETY							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
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

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	JPL – FINANCE	<i>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</i>					
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
JFN01	Agreements & Contracts	Includes any agreement, contract amendments, and related correspondence with a third party. Retain 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

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JFN07	CDRLs	Contains the contractor copies of the CDRLs submitted to NSA: FM008 – Burden budget actual versus plan and application rate. FM024 – Overtime report (to NMO & DCAA). FM007 – Actual rates and where they are going. FM011 – Occupational. Also FM027 and FM026 CDRL	Yes	CY+2-4	PC	PC	JPL – Finance
JFN08	Contract Data Requirements List (CDRL)	Contains the 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

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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
JFN17	Oracle: Financials	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	Contains scanned invoices and supporting documentation. (Documents prior to FY 1999 are available on paper)		CY+1	PC	PC	JPL – Finance

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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
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

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JPL – HUMAN RESOURCES							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
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	JPL – 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

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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		CY+1	PC	PC	JPL – Human Resources
JHR09	Drug Screenings	Pre-employment drug screening tests. Retained 5 years after test		Date of creation +5	PC	PC	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. <i>Retain file until death of employee, retiree, or surviving spouse plus 5 years</i>	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		CY+1	PC	PC	JPL – Human Resources
JHR13	Employee Demographic Changes	Contains name, address, or gender changes		CY+1	PC	PC	JPL – Human Resources

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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		Life of equip	5	Life of equipment +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

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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 <i>Application for Permanent Employment Certification</i>		Date of filing + 5	--	Date of filing + 5	JPL – Human Resources
JHR24	Job Applicant Tracking System (ATS)	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, or research leaves. Contains request, reason for leave, approvals, and related correspondence		AT+1	4	AT+5	JPL – Human Resources

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Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
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JHR26	Leaves of Absence	Organized by employee. Includes medical leaves of absence. Contains request, reason for leave, approvals, and related correspondence		AT+1	4	AT+5	JPL – Human Resources
JHR27	LMS: Learning Management System	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 Manager (OHM)	Contains patient appointments, meetings (both internal and external), and special events		PC	--	PC	JPL – Human Resources
JHR31	Oracle: Human Resources	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

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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+5	AT+5	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

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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

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JPL – OFFICE OF THE DIRECTOR							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
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

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JOD08	Project Execution Pre-Decisional Records	Miscellaneous records of the Associate Director Project Execution. May include pre-decisional records such as cost analyses or other assessments to aid in decision making		CY+9	10	20	JPL – Office of the Director
JOD09	Strategic Planning and Project formulation General Records	Miscellaneous records of the Associate Director Strategic Planning & 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

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PRESIDENT'S OFFICE							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
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, Animal Care and Use Benefits, Biosafety, Computing Advisory Committee, Diversity and Minority Affairs, Institute Academic Council, Institute Administrative Council, Institute Art, Performing and Creative Arts, Protection of Human Subjects, Radiation Safety, Sponsored Research, SURF, 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

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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
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

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ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
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, and notes	Yes	Act	Perm	Perm	Provost's Office
PRE03	File Maker Pro: Faculty	Contains faculty employee information. To be merged into Oracle late 2008	Yes	Perm	--	Perm	Human Resources
PRV04	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
PRV05	Headcount Reporting	Faculty headcount. Submitted to Human Resources		CY+4	15	20	Human Resources
PRV06	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

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PRV07	Oracle: Academic Module	Contains information about the faculty. Scheduled for implementation August 2008	Yes	Perm	--	Perm	Provost's Office
PRV08	Salary Survey	Any information shared with external sources about faculty's salaries		CY+4	15	20	Provost's Office
PRV09	Windstar:	Used to enter faculty payroll information	Yes	7 or AA	--	7 or AA	Payroll

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RESEARCH ADMINISTRATION							
OFFICE OF SPONSORED RESEARCH							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
OSR01	Award File	Extramurally sponsored awards for which OSR has responsibility. Organized by sponsor's award number. Documentation including but not limited to: proposal file, award documents (legal instrument that commits funding), and associated correspondence		EX+1	6	EX+7 or AA	Office of Sponsored Research
OSR02	Proposals	Contains the request for funding to the proposed sponsor, and associated correspondence. If awarded, becomes the beginning of the Award File. If not awarded, Proposal File is relegated to "Proposals – Denied"		Act	--	Act	Office of Sponsored Research
OSR03	Proposals – Denied	Contains the request for funding to the proposed sponsor which was not funded. Includes all associated correspondence		18 mo	--	18 months	Office of Sponsored Research

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PROJECT ACCOUNTING							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
PA01	Project Accounting Sponsored Award Files	Files organized by sponsor name, Principal Investigator and CIT award number. Documentation including but not limited to: award summary, sponsor notice of award, financial reports, journal entries, cost transfers, cost sharing, budget re-alignment entries, payment requests, invoices, financial close out, related correspondence, etc.		EX+2	5	EX + 7 or AA	Project Accounting
PA02	Bank Reconciliations on Advance Payments	Interest payments and bank reconciliations on advance payments made by federal sponsors		CY+2	4	7 or AA	Project Accounting
PA03	DOE Drawdown	Department of Energy letter of credit payments directly drawn from the sponsor's payment management system (PMS)		CY+2	Perm	Perm	Project Accounting
PA04	SF272 Reports	Quarterly cash transaction reports for federal sponsors such as NSF, NASA, DOE, EPA, etc.		CY+2	Perm	Perm	Project Accounting
PA05	Payroll Distribution Certification	Semi-annual payroll distribution and labor confirmation reports		CY+2	5	7 or AA	Project Accounting

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JPL PROJECT ACCOUNTING							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
JPA01	Accounts Payable (JPL Transfers)	Data to manage the process of Accounts Payable		CY+2	PC	PC	JLP Accounting
JPA02	Accounts Receivable (JPL IAs)	Data to manage the process of Accounts Receivable		CY+2	PC	PC	JLP Accounting
JPA03	Audited Financial Statements	Annual financial statement		Perm	--	Perm	JLP Accounting
JPA04	Award Close Out	Contains all documentation to close out a contract		CY+2	Perm	Perm	JLP Accounting
JPA05	Daily Draws	Cash drawn down daily from NASA		CY+2	4	7 or AA	JLP 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 Accounting
JPA07	Reporting	Contains monthly, quarterly, and annual reports to NASA		CY+2	PC	PC	JLP 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 Accounting

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STUDENT AFFAIRS							
	CAMPUS LIFE						
	STUDENT LIFE						
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
SLI01	Class Curriculum and Attendee List	Contains course outline and students' names for journalism and cooking classes. Grade forwarded to Registrar's Office.		CY		1	Student Life
SLI02	Class Handouts and Recipes	Distributed to students for journalism and cooking classes.		Act		Act	Student Life
SLI03	Major Events	Contains documentation for a major event such as concerts, olive oil, inter-house events where the budget is over \$25,000.		Act		Act	Student Life
SLI04	Myers-Briggs Leadership Training Materials	Contains record of who took the training, original results and data, interpretations for the team.		CY+9		10	Student Life
SLI05	Myers-Briggs Test Sheets	Individual test answer sheets taken after the training.		AT		AT	Student Life
SLI06	Pranks	Including but not limited to: discussions and details about the prank, media clippings, etc.,		Perm		Perm	Student Life
SLI07	Student Activities and Events	Contains event form that shows everything about an event such as what, where, requested by, budget, receipts, etc.		CY+6		7	Student Life

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DEAN OF GRADUATE STUDIES							
GRADUATE STUDIES OFFICE							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
GSO01	Admission Records	Contains application, letters of recommendation (not part of permanent record), transcripts, etc.		CY+5		6	Graduate Studies Office
GSO02	Annual Report	Statistical summary report that provides data on admissions, programming activities, student lectures, etc.		Perm		Perm	Graduate Studies Office
GSO03	Award Records	Contains recipient name, donor criteria, progress reports, financial records, and related documentation.		CY+6		7	Graduate Studies Office
GSO04	Disciplinary File	Contains investigation and disciplinary action taken.		AT+2	8	AT+10	Graduate Studies Office
GSO05	Donor Records	Includes correspondence from donors expressing where they want the funds allocated, copy of checks, etc.		CY+6		7	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	Graduate Studies Office
GSO07	GATES Database:	Graduate Academic Tracking Employment System. Tracks history of all students, names, dates of attendance, academic or disciplinary issues, etc.	Yes	Perm		Perm	Graduate Studies Office
GSO08	Graduate Policies	Contains a copy of the approved Graduate Study Committee meeting minutes, and all versions of graduate policies.		Perm		Perm	Graduate Studies Office

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GSO09	Graduate Student Employment Record	Documentation including but not limited to: contact information, I-9 form, foreign national intake for international students, employment history, scholarships, fellowships, petitions for over/under loads, direct deposit forms, change of address, etc. As of October 2009, financial information handled by Academic Options.		AT+2	8	AT+10	Graduate Studies Office
GSO10	Historical Employment Cards	A snapshot of the student's record. Shows dates, who served on Faculty Committee, grades, and their title.	Yes	Perm		Perm	Graduate Studies Office
GSO11	Prizes for Academic Excellence and Leadership	Identifies recipient's name, staff's recommendation to the student and supporting documentation.		Perm		Perm	Graduate Studies Office

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Item No.	Records Series Title	Records Series Description	Vital	Retention			Owner Department/ Office of Record
				Active Office	Inactive Storage	Total	
DEAN OF STUDENTS (UNDERGRADUATE)							
ATHLETICS							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
ATH01	Certifications	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	Athletics
ATH02	Gift Accounts	Contains deposit information into the gift account.		CY+6		7	Athletics
ATH03	NCAA Database:	Tracks all of the reporting information by sport.		CY+6		7	Athletics
ATH04	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
ATH05	Officials Database:	For referees and umpires contains copy of their W-9 form, contact information and initial check request. Organized by sport.		CY+6		7	Athletics

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	PERFORMING & VISUAL ARTS						
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
PVA01	Fund Raising Deposits	Contains copy of checks received from donors and remittance envelopes as a result of fund raising.		CY+6		7	Development
PVA02	Programs	Contains concert and theatre programs, audio recordings, and videos of plays.	Yes	Perm		Perm	Performing & Visual Arts
PVA03	PVA Donor Records:	Performing Visual Arts database that contains concert, publicity, and donor information.	Yes	Perm		Perm	Performing & Visual Arts
PVA04	Student Recommendations	Written at the request of a student, prospective employer, or fellowship.		AT+5		AT+5	Performing & Visual Arts
PVA05	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+5		AT+5	Performing & Visual Arts

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PHYSICAL EDUCATION							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
PE01	Course Records	Contains course outline, attendees, and grades. For students who enroll, those grades are forwarded to Registrar’s Office for permanent retention. For persons auditing the class, those grades remain in the file and are not forwarded to Registrar’s Office.		CY+6		7	Physical Education

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RECREATION							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
REC01	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
REC02	Credit Card Transactions	Copy of every Master Card or Visa transaction. Organized by date.		CY+1		2	Recreation
REC03	Deposit Forms	Shows account number, amount, date, cash, or check(s) deposited. Forwarded to Treasury.		CY+6		7	Recreation
REC04	Incident Report	One page document that shows name, time, date, and brief description of incident; first aid administered and recommendations for treatment. If the incident involves an employee, copy of report is sent to Human Resources.		CY+6		7	Recreation
REC05	Recreation Memberships	Application for membership completed by students and affiliated members. Contains personal and emergency contact information.		CY+6		7	Recreation
REC06	Time Sheets	Completed by recreation instructors. Shows time in and out, total amount worked and their signature. Source document used to enter time into Kronos timekeeping system.		CY+5		6	Recreation

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UNDERGRADUATE STUDENTS OFFICE							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
UDS01	Academic Disciplinary File	Contains Board of Control’s summary of its findings regarding academic cheating, evidence, appeal investigation, report, procedural review from Vice President, etc.		AT+5	Perm	Perm	Undergraduate Students Office
UDS02	Behavioral Disciplinary File	Contains correspondence and notes of interviews, investigation results, and recommendations to Dean on next steps.		AT+1	6	AT+7	Undergraduate Students Office
UDS03	Disability Records	Contains report from the psychologist that provides results from tests, and diagnosis. If a physical disability, a letter from the doctor advising about the disability.		AT+1	6	AT+7	Undergraduate Students Office
UDS04	Emergency Fund	Contains letters from students requesting a refund for a medical emergency, response, financial transaction, and receipts.		AT+1	6	AT+7	Undergraduate Students Office
UDS05	Events and Special Programs	Contains back-up documentation for an event including but not limited to: schedules, fliers, invitations, correspondence, advertising, caterer, etc.		CY+5		6	Undergraduate Students Office
UDS06	Goldwater Scholarship	Contains applications, recommendations from faculty, copy of academic research papers, and copy of nominations.		CY+6		7	Undergraduate Students Office
UDS07	Housner Fund	Contains proposals from students, correspondence regarding if accepted, receipts for expenses, payment records, and financial report.		AT+9		AT+9	Undergraduate Students Office
UDS08	Letters of Recommendation	Letters sent to a school or prospective employer on behalf of a student.		CY+5		6	Undergraduate Students Office

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UDS09	Medical Leave	Correspondence to approve the leave, counseling center recommendation, notes from a meeting, etc.		AT+1	6	AT+7	Undergraduate Students Office
UDS10	Prizes for Academic Excellence & Leadership	Includes nomination, résumé, letters of recommendation from faculty and award given.		AT+4		AT+4	Undergraduate Students Office
UDS11	Psychological Evaluation	Received from the counseling center or outside psychologist.		AT+1	6	AT+7	Undergraduate Students Office
UDS12	Special Accommodations	Documentation regarding students who need special dietary or housing accommodations.		AT+1	6	AT+7	Undergraduate Students Office
UDS13	Student Deaths	Includes family information and plans for the memorial service.		Perm		Perm	Undergraduate Students Office
UDS14	Student Progress Reports	Reports on Freshmen regarding how they are doing with Pass/Fail grading system. As of 2006, now being handled by Registrar.		AT+7		AT+7	Undergraduate Students Office
UDS15	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, withdraw cards, etc.		AT+1	6	AT+7	Undergraduate Students Office
UDS16	Summary Reports	Summary of all cases and type. Shows name of students, when occurred, and results. Used for statistical reporting.		Perm		Perm	Undergraduate Students Office
UDS17	Transfer Student file	Contains correspondence with instructor and final report to new school advising of the student's grade.		AT+7		AT+7	Undergraduate Students Office

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	DINING & HOUSING						
	CALTECH STORES						
	<i>BOOKSTORE</i>						
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
BST01	Budgettext	Point of sale, inventory, and purchasing system for the Book Store.		CY+6		7	Book Store
BST02	Credit Card Transactions	Copy of every Master Card or Visa transaction. Organized by date.		CY+1		2	Book Store

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<i>CARD OFFICE</i>							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
CCO01	Blackboard:	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

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	DINING SERVICES						
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
DRM01	Blackboard:	Stores all transactions made in the Dining Room using cash or I.D. card.		CY+6		7	Dining Room
DRM02	Deposit Slips	Cover sheet showing the total amount deposited each day. Packet is picked up by third party, Sectran, and deposited at the bank.		CY+6		7	Dining Room
DRM03	Invoices for Events	Invoices for catering services that the Dining Room provides to anyone on campus.		CY+6		7	Dining Room
DRM04	Menus	Menus for the week.		Act		Act	Dining Room

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HOUSING OFFICE							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
HOU01	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
HOU02	File Maker Pro:	Repairs & maintenance database. Work orders are generated out of system. Also shows history of repairs and maintenance performed on the property.		CY+6		7	Housing
HOU03	Maintenance Records	Contains inspection reports completed at move in and move out of tenant.		CY+6		7	Housing
HOU04	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
HOU05	Student Lease File	Contains application, lease, and correspondence related to the lease.		CY+6		7	Housing
HOU06	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

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ENROLLMENT SERVICES							
CENTER FOR DIVERSITY							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
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

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ENROLLMENT SERVICES							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
ENR01	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	AVP for Enrollment
ENR02	Advisory Reports & Audits	Reports from outside groups, peer reviews, etc. that make recommendations for improvement.		Act		Act	AVP for Enrollment
ENR03	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
ENR04	Correspondence to Caltech Students or Candidates	Related to financial aid or admission issues. Organized by year.		CY+6		7	AVP for Enrollment
ENR05	Honor Code Violations	Contains violation findings and letter to student.		AT+7		AT+7	AVP for Enrollment

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FINANCIAL AID							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
FAD01	Audits	Federal and state audits.		CY+4		5	Financial Aid
FAD02	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
FAD03	Endowment Scholarships	Identifies the donor, when donor started donations, amount of donation, requirements of scholarship, etc.		Act+6		Act+6	Financial Aid
FAD04	Power FAIDS:	Financial Aid Management System. Electronic version of Student Aid Reports. 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
FAD05	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
FAD06	Student Rosters	Identifies students who are eligible for California grants.		CY+7		8	Financial Aid

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REGISTRAR							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
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	Degree Statistics	Identifies the number of degrees awarded in science, engineering, etc.		Perm		Perm	Registrar
REG06	Enrollment Statistics	Statistics of who is enrolled by term, by gender, division, and major.		Perm		Perm	Registrar
REG07	Exeter Student Data:	Contains biographic/demographic student information as well as academic data.	Yes	Perm		Perm	Registrar
REG08	Final Graded Class Sheets	Organized by year and term for all students. Shows final grades assigned.		Perm		Perm	Registrar
REG09	Grade Changes	Organized by course. Received from an instructor when a grade is changed.		Perm		Perm	Registrar
REG10	Graduation Lists	Organized by year. Lists all students who graduated with a bachelor, master, PhD or Engineering Degree.		Perm		Perm	Registrar
REG11	Hold or Encumbrance Authorizations	A hold placed by the Bursar's Office. Retained until hold or encumbrance is released.		Act		Act	Registrar
REG12	Patent Agreements	Patents approved during the course of study at Caltech.	Yes	Perm		Perm	Registrar

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REG13	Race/Ethnicity Statistics	Statistics of enrollment by term.		Perm		Perm	Registrar
REG14	Registration, Drop/Add Forms	Organized by alpha, by term. Makes changes to a schedule, drop, or add a class.		CY+2		3	Registrar
REG15	Schedule of Classes	Shows the courses offered every term, courses taught by day and name, and instructor's name.		CY+6		7	Registrar
REG16	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
REG17	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

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UNDERGRADUATE ADMISSIONS							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
UAD01	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
UAD02	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
UAD03	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
UAD04	Recruitment Plus:	Database that contains student demographic information, test scores, contact information, etc.		CY+4		5	Undergraduate Admissions

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FELLOWSHIPS, STUDY ABROAD & CAREER COUNSELING							
FELLOWSHIP ADVISING OFFICE							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
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.		Perm		Perm	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

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	STUDY ABROAD						
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
SAB01	Exchange Partner Universities	Contains application, copy of transcripts, and evaluation materials.		Perm		Perm	Study Abroad
SAB02	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
SAB03	Student Records	Contains application, copy of transcripts, and evaluation materials.		Perm		Perm	Study Abroad

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HEALTH & COUNSELING SERVICES							
COUNSELING CENTER							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
CCT01	Annual Reports	Summary of health and counseling utilization data. Identifies observations, staffing trends, etc.		Perm		Perm	Counseling Center
CCT02	Appointment Book (A.K.A. Daily Schedule)	Contains names of the psychologist and their daily record of appointments.		CY+5		6	Counseling Center
CCT03	Consultant Invoices	Monthly invoice from consultants that lists students who were counseled. A Payment Request is sent to Accounting. Invoice retained in department as back-up documentation to the Payment Request.		CY+1	5	7	Counseling Center
CCT04	Counseling Center Database:	Summary data that contains individual student names, and number of visits. Used to create statistical reports and history of utilization.		Perm		Perm	Counseling Center
CCT05	Daily Activity Sheet	Completed by each psychologist. Logs what the psychologist did and name of student seen on an hourly basis. .		AT+5 or 14 whichever is longer		AT+5 or 14 whichever is longer	Counseling Center
CCT06	Log – Consultation	Contains date, time of visit, nature of visit, and disposition.		CY+5		6	Counseling Center
CCT07	Log – Crisis After Hours	Contains date, time of call, nature of crisis, who called and disposition.		CY+5		6	Counseling Center
CCT08	Request for Time Off	Completed by the employee when requesting time off. Retained separately until the employee terminates, then filed in their personnel file.		AT+4		AT+4	Counseling Center
CCT09	Staff Activity Sheet	Completed by psychologists that summarizes their activity by a particular term.		AT+4		AT+4	Counseling Center

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CCT10	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	Counseling Center
CCT11	Student Counseling Treatment Summary	Completed at the end of the counseling session by the psychologist.		AT+14		AT+14	Counseling Center
CCT12	Student Feedback	Anonymous feedback form completed by students after they have met with a counselor.		CY+5		6	Counseling Center
CCT13	Student/Administration Evaluation	Notes taken during an evaluation of a student. Completed at the request of the Dean.		AT+7		AT+7	Counseling Center

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	HEALTH ADVOCATE PROGRAM						
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
HAP01	Attendee List	Identifies participants who attended the class, may include grades and evaluations.		AT+7		AT+7	Health Advocate Program
HAP02	Request for Time Off	Completed by the employee when requesting time off. Retained separately until the employee terminates, then filed in their personnel file.		AT+4		AT+4	Health Advocate Program
HAP03	Training Application	Student application that evaluates appropriateness for them to attend the class.		AT+7		AT+7	Health Advocate Program
HAP04	Training Curriculum	First aid training curriculum.		CY+6		7	Health Advocate Program

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HEALTH CENTER							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
HCT01	Flu Clinic Consent	Signed by staff or faculty verifying they received and consented to the vaccine.		CY+6		7	
HCT02	Health File	Medical health chart that contains physical health form completed before admission, vaccination records, evaluation by specialists, x-rays, lab work, summaries, etc.		AT+7		AT+7	Health Center
HCT03	Pharmacy Records	Inventory of who has dispensed drugs and to whom.		CY+6		7	Health Center
HCT04	Request for Time Off	Completed by the employee when requesting time off. Retained separately until the employee terminates, then filed in their personnel file.		AT+4		AT+4	Health Center
HCT05	Schedules	Includes appointment schedule that lists appointments by day for medical doctors; and schedule of appointments at the women's clinic.		CY+1		2	Health Center

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HEALTH EDUCATION PROGRAM							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
HEP01	Annual Report	Submitted to Counseling Center that is incorporated in the annual report which is retained indefinitely.		Perm		Perm	Health Education Program
HEP02	Request for Time Off	Completed by the employee when requesting time off. Retained separately until the employee terminates, then filed in their personnel file.		AT+4		AT+4	Health Education Program
HEP03	Staff Activity Sheet	Completed by psychologists that summarizes their activity by a particular term.		AT+4		AT+4	Health Education Program
HEP04	Survey Annual Report	Summary of the anonymous survey conducted by health educators.		Perm		Perm	Health Education Program

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	MASTER OF STUDENT HOUSES						
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
MSH01	Applications – Rejected	Application and notes on students who are rejected for housing.		CY+3		4	Master of Student Housing
MSH02	Avery Faculty & Residence	Contains appointment letter, reimbursement history, assignment house, etc. for faculty members.		Act+10		Act+10	Master of Student Housing
MSH03	Donor Records	Includes contact information, history of expenditures for the year, and amount donated.		EX+5		EX+5	Master of Student Housing
MSH04	Student (Resident Associate) Records	Contains application, renewal letters, notes on the progress of how the student is doing in the house, applicant letter, assignment agreement, etc.		Act+10		Act+10	Master of Student Housing
MSH05	Student Communications	Contains communications with students on various topics such as Caltech policies, and approval for activities.		CY+4		5	Master of Student Housing
MSH06	Student Reimbursement	Tracks all monies given to a student. Shows budget allocation and charges against the budget, excludes housing and meals.		Act+5		Act+5	Master of Student Housing
MSH07	Student Resident Associate History:	Database that stores the history of Resident Associates. Identifies time spent at Caltech, house affiliation, mailing address, etc.		Perm		Perm	Master of Student Housing

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TECHNOLOGY TRANSFER, Office of (OTT)							
ADM	Administrative & Common Records	<i>Refer to Administrative & Common Records List – Pages 1-3</i>					
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

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