

Advancement Document Retention and Destruction Policy

Purpose

In accordance with the Sarbanes-Oxley Act, which makes it a crime to alter, cover up, falsify, or destroy any document with the intent of impeding or obstructing any official proceeding, this policy provides for the systematic review, retention, and destruction of documents received or created by the Stark State College Foundation (the “Foundation”) in connection with the transaction of organization business.

Overview

This policy covers all Foundation records and documents, regardless of physical form, contains guidelines relevant to how long certain documents should be kept, and offers guidelines relevant to document destruction (unless under legal hold). The policy is designed to ensure compliance with federal and state laws and regulations, to eliminate accidental or innocent destruction of records, and to facilitate the Foundation’s operations by promoting efficiency and freeing up valuable storage space. No paper or electronic documents will be destroyed or deleted if pertinent to any ongoing or anticipated government investigation, proceeding, or private litigation.

Furthermore, records and documents outlined in this policy include paper, electronic files (including email) and voicemail records regardless of where the document is stored, including network servers, desktop or laptop computers and handheld computers and other wireless devices with text messaging capabilities.

Records will be placed in the custody of specific employees according to their job descriptions and the administrative needs of the Foundation. All storage methodologies will be tamper-proof, searchable, and available in a central location.

Foundation staff members, board members, officers, volunteers, and independent contractors are expected to honor these guidelines. Any staff member, volunteer, officer, board member, or independent contractor in possession of any documents, regardless of form, must surrender those documents to the Executive Director or President of the Foundation if he or she leaves the Foundation for any reason. Documents will not be shared or given to other organizations without the express written permission of the Foundation's Executive Director.

Records Retention Policy

The following table provides minimum requirements. To the extent applicable laws or regulations are changed to require a different retention period, such law or regulation will take precedence. Documents that are not listed, but are substantially similar to those listed in the schedule, will be retained for the appropriate period of time.

SERIES TITLE	DESCRIPTION	RETENTION	DISPOSITION
Alumni Association /Alumni Advisory Council Minutes	Meeting minutes	Permanently Active up to 2 years Inactive – 2+ years	Active -- keep in development office; Inactive -- archive/document imaging/review for historical value imaging
Alumni Hall of Fame Nominees and Inductees	Files of graduates, who have been nominated for or inducted into the Alumni Hall of Fame. Includes name, year of graduation, major and resume or vita.	Inactive -- Nominees – 5 years Inductees – permanently	Nominees – destroy after 5 years Inductees – Permanent; keep in office or archives
Audit Reports	Yearly audit review and results	Active – up to 6 years permanently; Inactive – archive after 6+ years	Active -- keep in development office; Inactive -- archive/document imaging/review for historical value imaging
Bank Statements	Monthly bank statements	3 years	Destroy after 3 years
Checks	Donations	Active – up to 6 years permanently; Inactive – archive after 6+ years	Active -- keep in development office; Inactive -- archive/document imaging/review for historical value imaging
Contracts: Endowment Contracts	Contract from donor specifying use of donation – still in effect	Permanent	Permanent / keep in development office
Contracts: Annual Scholarship Project Account Contracts	Contract from donors specifying use of donation on an annual basis	Active -- permanently Inactive – archive after 7 years	Active -- keep in development office; Inactive -- archive/document imaging/review for historical value imaging

SERIES TITLE	DESCRIPTION	RETENTION	DISPOSITION
Correspondence	General	2 years	Destroy
Correspondence	Legal and important matters	Active – up to 6 years permanently; Inactive – archive after 6+ years	Active -- keep in development office; Inactive -- archive/document imaging/review for historical value imaging
Duplicate deposit slips	Deposit slips from donations	2 years	Destroy
Donor Giving Statements and Reports	Cumulative giving statements	Active – up to 6 years permanently; Inactive – archive after 6+ years	Active -- keep in development office; Inactive -- archive/document imaging/review for historical value imaging
Endowment Fund Reports – Annual	Annual report of funds received and expended by endowment accounts; may be in form of report to donors.	Active – up to 6 years permanently; Inactive – archive after 6+ years	Active -- keep in development office; Inactive -- archive/document imaging/review for historical value imaging
Expense analyses/annual budgets/expense distribution	Foundation budgets	Active – up to 6 years permanently; Inactive – archive after 6+ years	Active -- keep in development office; Inactive -- archive/document imaging/review for historical value imaging
Financial Statements – year end	Annual year-end financial statements	Active – up to 6 years permanently; Inactive – archive after 6+ years	Active -- keep in development office; Inactive -- archive/document imaging/review for historical value imaging
Foundation Official Papers	Board Minutes, By-Laws, Policies and Procedures, and other official papers	Active – up to 6 years permanently; Inactive – archive after 6+ years	Active -- keep in development office; Inactive -- archive/document imaging/review for historical value imaging
Fundraising Campaigns (annual and major gifts)	Materials relating to annual and special campaigns.	Active up to 3 Years	Active -- keep in development office; Inactive -- archive/document imaging/review for historical value imaging

Invoices	Invoices for pledge donations	7 years	Destroy
Scholarship-related materials	Applications, correspondence and general information	Active up to 2 years Inactive – 2+ years	Active – keep in development office Inactive -- destroy
Scholarship Recipients: Student Scholarship Files	Files provided by Financial Aid. Includes student names as recipients of endowed scholarships from Foundation's endowment accounts	Active up to 2 years Inactive – 2+ years	Active -- keep in development office; Inactive -- archive/document imaging/review for historical value imaging
Subject Files	Correspondence, reports, memoranda, unofficial personnel files, etc., documenting activities of this office.	1 Year	Destroy
Tax Returns	990s and tax returns	Active – up to 6 years permanently; Inactive – archive after 6+ years	Active -- keep in development office; Inactive -- archive/document imaging/review for historical value imaging

STARK STATE COLLEGE FOUNDATION
DOCUMENT RETENTION AND DESTRUCTION POLICY

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Records will be placed in the custody of specific employees according to their job descriptions and the administrative needs of the Foundation. All storage methodologies will be tamper-proof, searchable, and available in a central location.

Foundation staff members, board members, officers, volunteers, and independent contractors are expected to honor these guidelines. Any staff member, volunteer, officer, board member, or independent contractor in possession of any documents, regardless of form, must surrender those documents to the Executive Director or President of the Foundation if he or she leaves the Foundation for any reason. Documents will not be shared or given to other organizations without the express written permission of the Foundation's Executive Director.

Records Retention Policy

The following table provides minimum requirements. To the extent applicable laws or regulations are changed to require a different retention period, such law or regulation will take precedence. Documents that are not listed, but are substantially similar to those listed in the schedule, will be retained for the appropriate period of time.

SERIES TITLE	DESCRIPTION	RETENTION	DISPOSITION
Alumni Association /Alumni Advisory Council Minutes	Meeting minutes	Permanently	Up to two years will be maintained in the Development office; Over 2 years will be archived/ imaged
Alumni Hall of Fame Nominees and Inductees	Records of graduates, who have been nominated for or inducted into the Alumni Hall of Fame. Includes name, graduation date, major and resume or biography.	Nominees – 5 years Inductees – permanently	Nominees – destroy after 5 years Inductees – Permanent; keep in office or archives
Audit Reports	Yearly audit- review and results	Permanently	Up to 6 years - kept in Development office; Over 6 years will be archived/imaged
Bank Statements	Monthly bank statements	3 years	Maintained in Development office and destroyed after 3 years
Checks	Donations	Permanently	Up to 6 years - kept in Development office; Over 6 years will be archived/imaged
Contracts: Endowment Contracts	Contract from donor specifying use of donation – still in effect	Permanently	Kept in Development office
Contracts: Annual Scholarship Project Account Contracts	Contract from donors specifying use of donation on an annual basis	Permanently	Up to 7 years – kept in Development office; Over 7 years will be archived/imaged

SERIES TITLE	DESCRIPTION	RETENTION	DISPOSITION
Correspondence	General	2 years	Destroy
Correspondence	Legal and important matters	Permanently;	Up to 6 years - kept in Development office; Over 6 years will be archived/imaged
Duplicate deposit slips	Deposit slips from donations	2 years	Destroy
Donor Giving Statements and Reports	Cumulative giving statements	Permanently	Up to 6 years - kept in Development office; Over 6 years will be archived/imaged
Endowment Fund Reports – Annual	Annual report of funds received and expended by endowment accounts; may be in form of report to donors.	Permanently;	Up to 6 years - kept in Development office; Over 6 years will be archived/imaged
Expense analyses/annual budgets/expense distribution	Foundation budgets	Permanently	Up to 6 years - kept in Development office; Over 6 years will be archived/imaged
Financial Statements – year-end	Annual year-end financial statements	Permanently;	Up to 6 years - kept in Development office; Over 6 years will be archived/imaged
Foundation Official Papers	Board Minutes, By-Laws, Policies and Procedures, and other official papers	Permanently;	Up to 6 years - kept in Development office; Over 6 years will be archived/imaged
Fundraising Campaigns (annual and major gifts)	Materials relating to annual and special campaigns.	3 Years	Kept in Development office – destroyed as appropriate after three years
Invoices	Invoices for pledge donations	7 years	Destroy after 7 years

SERIES TITLE	DESCRIPTION	RETENTION	DISPOSITION
Scholarship-related materials	Applications, correspondence and general information	2 Years	Destroy after 2 years
Scholarship Recipients: Student Scholarship Files	Files provided by Financial Aid for recipients of endowed scholarships		Up to 2 years - kept in Development office; Over 2 years will be archived/imaged
Subject Files	Correspondence, reports, memoranda, unofficial personnel files, etc., documenting activities of this office.	1 Year	Destroy
Tax Returns	990s and tax returns	Permanently	Up to 6 years - kept in Development office; Over 6 years will be archived/imaged

ACADEMIC AFFAIRS
RECORD RETENTION

RECORD TITLE	RECORD DESCRIPTION	RETENTION TIMEFRAME	DISPOSAL METHOD	DOCUMENT OWNER	STORAGE LOCATION
Faculty Grade Books	Faculty Class Rosters and Grades	Active Year + 6 Years	Shredded and/or Deleted	Faculty/Department Chair if Faculty Member Leaves	Academic Division Drive
Advising Material	Graduates	1 Year After Graduation 2 years for Non-graduates	Deleted	FT Faculty	MAP and Starfish
	Non-Graduates	2 Years for Non-Graduates			
Class Material	Final Exams, Attendance Records, or additional course material required by accreditation agencies	Active Year + 1 Year (or as required by accrediting agency)	Shredded and/or Deleted	Faculty/Department Chair if Faculty Member Leaves	Academic Division Drive/Faculty/Coordinator/Department Chair if Faculty Member Leaves
Course Assessment	Assessment Reports	Active Year + 6 Years	Shredded and/or Deleted	Department Chairs, Deans, Provost	Divisions and Provost's Office
Course Syllabi	Current Course Syllabi	Active Academic Term	Shredded and/or Deleted	Faculty/Department Chair if Faculty Member Leaves	Academic Division Drive
	Past Course Syllabi	7 years			
Online courses	Courses using the LMS (Blackboard) to deliver courses or part of a course (this includes face-to-face, Web 2, Web 3, and Web 4 courses)	Permanent	Deleted	Director of eStarkState	eStarkState
Academic Program Reviews	Program Reviews	Active Year + 6 Years	Shredded and/or Deleted	Department Chairs, Deans, Provost	Provost Drive
Department Service Learning Related Forms	Clinical Forms, Practicum Forms, Observation Forms/Hours, Internship/Apprenticeship Forms	Active Year + 3 Years (or as required by accrediting agency or clinical agreement)	Shredded and/or Deleted	Faculty/Coordinator/Department Chair if Faculty Member Leaves	Academic Division Drive/Faculty/Coordinator/Department Chair if Faculty Member Leaves
Health Program Admission Forms	Program Acceptance Letters and Non-Acceptance Letters	Active Year + 1 Year (or as required by accrediting agency)	Shredded and/or Deleted	Department Chairs	Academic Division Drive
Health Program Readmission	Correspondence requesting readmission	Active Year + 1 Year (or as required by accrediting agency)	Shredded and/or Deleted	Department Chairs	Academic Division Drive
Health Program Probation Letters	Academic Probation and Academic Dismissal	Active Academic Term + 1 Year (or as required by accrediting agency)	Shredded and/or Deleted	Department Chairs	Academic Division Drive
Health and Public Services Handbooks	Program Handbooks	Active Academic Term + 3 Years (or as required by accrediting agency)	Shredded and/or Deleted	Program Faculty	Academic Division Drive
Department/Division/Provost Meeting Agendas and Minutes	Meeting Agendas and Minutes	Active Year + 6 Years	Shredded and/or Deleted	Chairs, Directors, Deans, Provost	Academic Division and/or Provost Drive
Advisory Boards/Committees	Minutes, Member Lists, and Official Actions of Boards	Active Year + 6 Years (or as required by accrediting agency)	Shredded and/or Deleted	Department Chairs	Academic Division Drive
Formal Student Complaints	Student Complaints	Active Year + 6 Years	Shredded and/or Deleted	Chair, Dean, Provost	Academic Division and/or Provost Drive
Student Judicial Forms	Student Misconduct	Active Year + 6 Years	Shredded and/or Deleted	Chair, Director, Security, Dean, Provost	Division/Department Drive
Formal Grade Appeal	Final Grade Appeal	Active Year + 6 Years	Shredded and Deleted	Faculty, Chair, Deans, Provost	Provost Drive
Honesty In Learning	Honesty In Learning Forms	Active Year + 6 Years	Shredded and Deleted	Faculty, Chair, Deans, Provost	Provost Drive

ACADEMIC AFFAIRS
RECORD RETENTION

Articulation Agreements	Articulation Agreements with Colleges/Universities	Active Year + 5 Years	Renewed, Old Copy Shredded and/or Deleted	Provost	Provost Drive
PLA Documents	Prior Learning Assessment Material	Active Year + 6 Years	Shredded and/or Deleted	Faculty, Chairs, Coordinator	Division and/or Provost Drive
Military Services records	Student Military Service Records	Active Year + 6 Years	Shredded and/or Deleted	Director	Academic Division Drive
Disability Support Services records	Student Disability Records	Active Year + 6 Years	Shredded and/or Deleted	Director	Academic Division Drive
TRiO Student Records	Grant Records for TRiO students	Active Year + 6 Years	Shredded and/or Deleted	Director	Academic Division Drive
Student Travel	Travel Forms for Student Clubs and Organizations	Active Year + 6 Years	Shredded and/or Deleted	Director	Academic Division Drive
Academic Field Trip	Permission Forms	Active Year + 3 Years	Shredded and/or Deleted	Faculty	Academic Division Drive
Accreditation Records	Program and Division Accreditation Records	Active Year + 6 Years (or as required by accrediting agency)	Shredded and/or Deleted	Chair and/or Dean	Academic Division Drive
Accreditation Records for Dietary and Dental programs	Program Accreditation Records for Dietary and Dental Programs	Permanent		Chair and/or Dean	Academic Division Drive
ODHE Records	ODHE Curriculum Approval, Location Approval, and other letters	Permanent		Provost	Provost Drive
Curriculum Committee Shared Governance	Curriculum Changes and Minutes	Active Year + 6 Years	Shredded and/or Deleted	Registrar, Chair, Dean, Provost	Provost Drive
HLC Accreditation Records	HLC Formal Documents and Materials	Permanent		Provost	Provost Drive

**FINANCE OFFICE
RECORD RETENTION SCHEDULE
DECEMBER 31, 2020**

Schedule Number	Record Retention Document	On this Date Destroy the following records:
BA-1	Payroll Check File Listing	Destroy thru 6/30/18
BA-2	Payroll Check Register	Destroy thru 6/30/09
BA-3	Payroll Account Distribution	Destroy thru 6/30/17
BA-4	P.E.R.S. Report	Destroy thru 6/30/09
BA-5	S.T.R.S. Report	Destroy thru 6/30/09
BA-7	Payroll Checks	Destroy thru 6/30/17
BA-8	Quarterly Disbursement Listing	Destroy thru 6/30/17
BA-9	Voucher Packets	Destroy thru 6/30/15
BA-10	Voucher Checks	Destroy thru 6/30/15
BA-11	Cash Disbursement Journal	Destroy thru 6/30/17
BA-12	Cash Disbursement Check Register	Save Electronically thru 6/30/17
BA-13	Student Fee Receipt	Destroy thru 6/30/16
BA-14	Miscellaneous Fee Receipt	Destroy thru 6/30/16
BA-15	Cash Receipts Journal	Destroy thru 6/30/17
BA-16	Chart of Accounts	Destroy All Except Current Month
BA-17	Inventory Records Printout	Destroy thru 6/30/17
BA-18	Financial Reports	Save Electronically 7/1/84-6/30/17
BA-19	Budget Report	Destroy thru 6/30/17
BA-20	Bank Statements	Destroy thru 6/30/17

RECORD RETENTION SCHEDULE
DECEMBER 31, 2020

BA-21	Journal Vouchers	Destroy thru 6/30/17
BA-22	Journal Voucher Printout	Destroy thru 6/30/17
BA-23	General Ledger File Listing	Save Electronically 7/1/84-6/30/17
BA-24	Monthly Summary of Transactions	Destroy thru 6/30/18
BA-25	Accounts Receivable Journal	Destroy thru 6/30/16
BA-26	Cashier Worksheets	Destroy thru 6/30/17
BA-27	Invoices	Destroy thru 6/30/17
BA-28	Payroll Quarter-to-Date Report	Destroy thru 6/30/17
BA-29	Payroll Calculations Report	Destroy thru 6/30/17
BA-30	Payroll File Maintenance Report	Destroy thru 6/30/17
BA-31	Payroll Time Sheet Report	Destroy thru 6/30/17
BA-32	Personnel Files	Save Electronically thru 6/30/17
BA-33	Time Cards	Save Electronically thru 6/30/17
BA-34	Student and Faculty Insurance	Destroy 6/30/17
BA-35	Miscellaneous Reports	Destroy 6/30/17
BA-36	Committees and Organizations	Destroy 6/30/17
BA-37	General Information	Destroy 6/30/17
BA-38	Plant Files	Save Electronically thru 6/30/16
BA-39	Ohio Board of Regents Information	Save Electronically thru 6/30/17
BA-40	Auditor of State Reports	Save Electronically 7/1/84 - 6/30/17
BA-41	Financial Control Notebooks	Destroy thru 6/30/14

**RECORD RETENTION SCHEDULE
DECEMBER 31, 2020**

BA-42	College Support Staff Minutes	Save Electronically thru 6/30/17
BA-43	Quarterly Municipal City Tax	Destroy thru 6/30/17
BA-44	Room Usage Forms	Destroy thru 6/30/17
BA-45	Maintenance Work Orders	Destroy thru 6/30/18
BA-46	Financial Reports AJE's & Closing Records	Save Electronically thru 6/30/17
BA-47	Budgets - Departmental Notebooks	Destroy thru 6/30/19
BA-48	Non US Dept of Ed - Rosters for Scholarships	Destroy thru 6/30/16
BA-49	Non US Dept of Ed - Student Files for Sch	Destroy thru 6/30/2012
BA-50	US Dept of Ed - Student Files for Scholarship	Destroy thru 6/30/2015
BA-51	Bad Debt Actions	Destroy thru 6/30/16
BA-52	Accounts Receivable (Company Pays)	Destroy thru 6/30/16
Ba-53	Medical Records (Appeal Documentation)	Destroy thru 6/30/14
PUR-1	Bid Records	Destroy thru 6/30/18
PUR-2	Purchase Orders	Destroy thru 6/30/19

Approved by _____
Scott Andreani Date

Approved by _____
Thomas A. Chiappini Date

HUMAN RESOURCES DEPARTMENT
RECORD RETENTION LIST

<u>HR Record Type</u>	<u>Retention Period</u>
Employee Relations File (Investigation, Corrective action)	6 years after termination of employee
Grievances	6 years on file or after closing of the case
Attendance Data	6 years after termination of employee
Absence due to sickness	3 years on file
Disability records, claims & notes	6 years after termination of employee
Employment applications (of people not hired)	1 year on file
Employee Hiring Documents	6 years after termination of employee
Employee records related to hiring, promotion, Demotion, transfer, layoff, termination, rates of pay, other compensation terms	6 years after termination of employee
Employee training records	Retain for term of employee's employment
ICE/I-9 Forms Keep separate from personnel file	1 year after termination date or 3 years after hire date, whichever is later.
Payroll Records (deduction authorization, Payroll reports to Federal, State, Municipal agencies, commission records, Payroll tax records)	4 years after termination of employment
Tuition Sharing documentation	4 years after termination of employment
EEOC/Civil Claims/HR Related Legal Actions	6 years after final disposition of charge or action
ERISA/Retirement participants records	6 years or while relevant
FMLA records	3 years
Benefit plan records	6 years
Unemployment Claims	2 years after termination of employment
Worker's Compensation Records	10 years after the later of the injury or illness or the close of the claim

HUMAN RESOURCES DEPARTMENT
RECORD RETENTION LIST

Job Evaluation	1 year after completion of exercise, 10 years if done on a large scale for the entire group or department
Advertising details	6 months after completion of recruitment
Position description	5 years after recruitment of position
Advancement in Rank	6 years on file
Vendor Contracts	5 years on file
Affirmative Action Plan/Report	3 years after close of AAP year
Performance Evaluations	6 years after termination of employee
Exit Interview Results	2 years for trend analysis
Compensation/Wage Distribution/Pay Reviews	6 years on file
Employee Contracts	6 years after termination of employee
HR Policies: Master copy & notes regarding	5 years after the policy is superseded the development of the policy
Professional Development Materials	2 years on file
Background Checks	6 years from date of hiring decision for non-hires and from date of termination for employees
Public Records Requests (includes original request)	3 years from completion date

President's Office

Records Retention Schedule

Title	Description	Retention	Disposition
Board Minutes/ Resolutions	Background on official actions taken	Permanent	Document imaging (back up)
Ohio Department of Higher Education	Reports/correspondence	5 Years	Destroy – review for continuing historical value.
Board Packets	Meeting materials	5 Years	Destroy - document imaging
Capital Improvement Files	Building project background	10 Years	Destroy – document imaging
Commencement	Programs and speaker information	Permanent	N/A
Companies	National and local companies of interest	3 Years	Destroy
External Committee Documents	President's external committee meeting information	2 Years	Destroy
Historical Documents	Leases/Contracts/Charters	Permanent	Document imaging (back up)
Internal Committee Documents	Governance and ad hoc committee activities	3 Years	Destroy
Legal Files	Documentation from local legal firms and attorney general's office	3 Years	Destroy
Local K-12	Outreach documents	2 Years	Destroy – review for continuing historical value.
Ohio/U.S. Legislative Communications	Correspondence	3 Years	Destroy – review for continuing historical value.
Organizations	National and local organizations with involvement	2 years	Destroy
Personnel Actions	Grievance/legal information	3 Years	Destroy
President's Cabinet Action Documentation	Minutes and motion forms	10 Years	Document imaging (back up)
President's Cabinet Packets	Meeting materials	5 Years	Destroy
Public Records Requests	Public records request tracking information (chart)	5 Years	Destroy

Strategic Plan Files	Background documentation on strategic planning	10 Years	Destroy – review for continuing historical value.
Subject Files	Correspondence, reports memoranda, unofficial personnel files, etc.	2 Years	Destroy – review for continuing historical value.
Trustee	Documentation of activities while in office	Duration of trustee's term	Destroy
Ohio Department of Higher Education Institutional Information	Information on USO institutions	2 Years	Destroy