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**Document Management & Retention Policy**

of

**The Ohio Valley Region of USA Volleyball, INC.**



# Ohio Valley Region – Document Management & Retention Policy

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**Purpose:** The Ohio Valley Region (OVR) has business needs and obligations to retain and safeguard documents, both paper and electronic. This policy sets out how the OVR staff and board members are to manage documents during the time they are maintained so that they are safe, organized, and available to all appropriate OVR staff. In addition, this policy sets out how long to keep the documents and what to do when that time expires.

**1. Paper Documents**

Paper documents must be filed in a clearly labeled and organized way and stored in a safe place. Confidential documents must be stored in locations not accessible to unauthorized people. Individual OVR committee's and staff are free to adopt paper filing systems, which may include individual and committee-wide storage in the workplace and/or departmental storage at remote locations. Documents that are to be stored in remote locations should be boxed using standard document boxes bearing clear labels, as set out in Appendix A to this policy.

Do not destroy paper documents until the time period, as set out by the Retention Schedule in Appendix B to this policy, has expired (the "Expiration Date"). Identical copies of documents (not bearing handwritten notes or other information not on the original) need not be preserved through the Expiration Date and can be destroyed when no longer needed.

**2. Electronic Documents**

Emails and all other electronic documents stored in connection with the OVR and the OVR's work must be kept in an organized fashion in the cloud-based storage location designated by this policy. Such emails and documents must not be stored on the hard drive of an employee's computer or in other localized storage media.

Maintain electronic documents for the same periods, as set out by the Retention Schedule in Appendix B. Remember that "electronic documents" include any type of document (whether text, graphics, or spreadsheets) no matter what type of software is used to generate it and what type of computer-readable medium it is stored on, including email. Identical copies of electronic documents need not be preserved through the Expiration Date and can be deleted when no longer needed.

a) Emails

Each staff and BOD member of the OVR must store all OVR related emails through a (i) subfolders under the user's "Inbox", or (ii) subfolders under the "Archive" folder in your email server. If requested by the OVR's Legal Counsel, all staff members and BOD members must turn over all emails during their tenure of employment or duration of term.

b) All Other Documents

Each staff and BOD member of the OVR must store OVR related documents in a safe and secure manner that can be turned over the OVR if requested by the OVR's Legal Counsel.

**Exceptions**

From time to time, you may find that a document, paper or electronic, needs to be maintained even though

its Expiration Date has passed. In order to retain documents after the Expiration Date has passed, you must get approval from the OVR Commissioner and note the document(s) in the annual Document Retention Policy Compliance Statement (see below).

### **3. Litigation Holds**

From time to time, the OVR General Counsel will identify and notify employees of actual or potential litigation matters and instruct not to destroy related documents. Such “Litigation Holds” may include an additional obligation to gather and prepare relevant documents for review. That obligation would likely include the task of segregating and separately storing paper and electronic documents that are subject to the hold. For electronic documents this can be simply creating a new folder and moving relevant documents into that folder. For on-site paper documents, this can be simply creating a new file and moving relevant documents into that file. For off-site paper documents, this means separately boxing the documents and labeling the boxes appropriately, using the label attached hereto in Appendix C.

These “Litigation Holds” may reflect legal obligations of the OVR and must be honored at all times.

### **4. Employee Separation**

At the conclusion of an employee’s employment at the OVR (the “Separation Date”), the employee’s personal office files, including all paper and electronic documents, must be reviewed by his/her supervisor to determine whether and how to retain the documents according to this policy. This process must be completed and the documents processed for proper retention within 90 days of the Separation Date.

### **5. Document Destruction**

All paper and electronic documents are to be screened at least annually by the holder of the documents, to identify documents that have passed their Expiration Dates. By November 1 of each year, the OVR Commissioner will ensure that all the OVR staff receive a copy of this Policy along with copies of all applicable Litigation Holds, if any. Utilizing these documents as guidance on what documents to retain and which may be destroyed, each the OVR staff member must review all paper and electronic copies of documents in their possession, custody, and control, to determine which documents are past their Expiration Dates. Subject to any applicable Exceptions and Litigation Holds, documents past their Expiration Dates must be destroyed and the the OVR Document Management and Retention Policy Compliance Statement prepared and submitted by December 31 of each year. Confidential paper documents must be destroyed by shredding; other paper documents may be disposed of in recycle bins.

### **6. Annual Certification**

On an annual basis, all the OVR staff who have paper or electronic documents must sign (whether on paper or electronically) and submit the the OVR Document Management & Retention Policy Compliance Statement attached hereto as Appendix D to the Commissioner, following the process provided by the Commissioner, by December 31 of each year.

**APPENDIX A – DOCUMENT BOX LABEL**

<b>RECORDS BOX LABEL</b>	
<b>Department:</b>	
<b>Description of Contents:</b>	
<b>Filing Sequence (From – To)</b>	<b>Box Label Date:</b> <b>Destruction Review Date:</b>

## APPENDIX B – DOCUMENT RETENTION SCHEDULE

**NOTE:** Retention periods start on the last day of the year in which the Records were created, unless otherwise provided.

**[Comment: Update this section as appropriate to reflect the NGB’s documents and identify retention period based on applicable law and other business requirements. The chart below provides only example ranges for retention periods; NGB must select a specific year for retention or state that the documents should be maintained “permanently”. In other words, NGB should not have date ranges nor the phrase “generally maintained” in its final policy.]**

### Accounting and Finance

Retirement Plan Documents and Agreements, Current	Duration of agreement plus 1-3 years
Insurance Claims	7 years after closing of claim
Account Payable Ledgers, Invoices and other Supporting Records	5 years
Accounts Receivable Ledgers, and Records	8 years
Asset Depreciation Schedules	7 years after disposal of asset
Bank Statements and reconciliations	5 years
Cash Books, Journals	5 years
Cash Receipts, Checks and Deposit Slips	5 years
Expense Reports, Travel Reports, P-Cards	5 years
External Audit Reports	5 years
General Ledger	7 years
Grants	Duration of grant plus 3 years
Insurance Policies, both Active and Cancelled	10 years
Insurance Documents	10 years
Inventory Records	5 years
Investment Records	5 years
Payroll Records and payroll tax records	5 years
Petty Cash Documentation	5 years
RFP Bids	5 years
Tax Returns with Attached Schedules	10 years
VIK Reporting	10 years

### Athlete Services

Athlete Support (file by athlete)	7 years
Classifier Logs	Length of Classifier’s Service plus 2 years
Classifier Training Evaluations	Length of Classifier’s Service plus 2 years
Competition Result Supporting Documentation	7 years
Negative Anti-Doping Test Results and Reports	2 years
Paralympic Athlete Classification Consent and Evaluation	Duration of participation plus 3 years

Forms	
Paralympic Athlete Medical Declaration Forms	5 years
Paralympic National Classification Policies and Procedures	5 years
Paralympic Protest and Appeal Filings	5 years
Paralympic Training and Education Documents and Presentations	5 years
Performance Test Results	5 years
Scientific Performance Research	10 years
Selection Procedures (Olympic, Paralympic, Pan Am, Parapan Am)	5 years

### Communications

Press Releases, News Releases, and Other Official Statements	Permanently
Website Content Agreements	5 years after expiration or termination

### Contributions/Development/Marketing

Archive samples of sponsor, supplier, and licensee promotional ads and merchandise	5 years after agreement ends
Donor and all gift records including signed pledge agreements, research products, gift and tax receipts, biographical information, and substantive donor communications	5 years after agreement ends
Donation acknowledgements, hospitality program terms and conditions and pledge reminders	5 years
Grant proposals, awards letters and reports	10 years
Marketing Contract Summaries, Contracts, and Side Letters	5 years after expiration or termination
Records of contributions	Permanently
Royalty Reports	10 years
Sponsor/Supplier/Licensee Consequential Correspondence	5 years

### Corporate Records/Legal

All permissions for use of others' copyrighted material	Permanently
Annual Reports	Permanently
Athlete Safety Participant Information	10 years
Athlete Safety Policy	10 years
Athlete Safety Incident Reports	10 years
Athlete Safety Investigations	Permanently
Athlete Safety Education, training and messaging	5 years
Confidentiality Agreements	10 years after expiration or termination
Confidentiality and Non-Disclosure Agreements	Permanently
Contracts and Agreements	5 years after expiration or termination

Domain Name Registration Information and Dispute Resolution Activity	Permanently
Government correspondence	Permanently
Grievances and associated documents	Permanently
Inspections, Audits and Reviews where accreditation denied	Permanently
Inspections, Audits and Reviews where accreditation granted	5 years
Invention Assignment Agreements	Permanently
Litigation/Arbitration Cases	10 years from close of proceedings
NGB Governance Documents, including Bylaws, Articles of Incorporation/Constitution, Board of Directors Minutes, Committee Minutes, Board of Directors Minutes, Committee Minutes, Liquidation, Merger & Withdrawal Records, Certificates of Authority, Orders & Decisions of Regulatory Bodies, Conflict of Interest Statements	Permanently
Organizational Charts	Permanently
Original Copyright and Trademark Registrations, Renewals, Documents, Work Papers, Memoranda, Correspondence, Etc.	Permanently
OSHA Inspection Records	5 years
Records Destruction Certificate	Permanently
Records Management Procedures - Expired	5 years
Records of efforts not to infringe any copyright, trademark, patent, trade secret, etc.	Permanently
Request for Deviation from Records Retention Schedule	As long as record is kept under the exception plus two years
Royalty and Licensing Records	Permanently
Trademark Search Reports and Enforcement Activities (Cease and Desist Letters, Cancellation or Opposition Actions, Etc.)	Permanently
U.S. Center for SafeSport Audit Reports	5 years
USOPC Grants and Agreements	5 years

### **Employee Documents/Human Resources**

Affirmative Action Plans	5 years
Applications and Resumes (Not Hired)	1 year
EEO Data Collection Forms	5 years
EEO Records and Reports	5 years
Employee Benefits Plan Documents and Amendments	Permanently
Employee Exposure Records	10 years
Employee Handbooks and Policies	Permanently
Employee Medical Records	10 years
Employment Eligibility Verification (I-9) Forms	The longer of the duration of employment plus one year
Individual Employee Benefit Records	5 years
Job Postings, Orders, Advertisements, and Recruiting Records	1 year



Personnel Files (Application, Resume, Interview Notes, Job Description, Background Checks, Offer Letter, Employment Agreement, Employee Training, Acknowledgments Forms, Performance Appraisals, Disciplinary Action, Transfer, Promotion, And Demotion Records, Resignation Or Termination Documentation, Driving Record, Wage and Rate History, Etc.)	Duration of employment plus 5 years
Records of Disability Accommodation Requested and Provided	Duration of employment plus 5 years
Records of Discrimination/Harassment Complaints, Investigations, and Responsive Actions	Permanently
Records of FMLA Leave Requested and Provided	Duration of employment plus 5 years
Restructuring/Reduction-in-Force Documentation	5 years
Severance and Separation Agreements	5 years
Worker's Compensation documents	5 years

### General Documents

All records not otherwise identified in this Records Retention Schedule	5 years
Letters of general inquiry and replies which complete a cycle of correspondence and have no value after possible reference from the correspondent within a reasonable period of time	1 year
Letters requesting specific action such as name or address change, which have no further value after changes are made or action taken	1 year
Meeting/Conference Call Reports	1 year
Similar letters of various types which might be referred to shortly after they are received or written but which soon cease to have value unless further immediate correspondence ensues.	1 year
Unimportant letters and notes which require no acknowledgment or follow-up, such as notes of appreciation, congratulations, letters of transmittal, and plans for meetings	6 months

### Medical

Department of Health Inspection Records	Permanently
Medical Records - Adult	5 years after the date of last treatment
Medical Records – Minor	Until age 25
Sports Medicine Research	10 Years

Testing Consent Form	5 years
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**Property Records/Facility Maintenance**

Building Plans and Specifications - Inactive	1 year
Facility and Equipment Records	Permanently
Facility Blueprints	Permanently
Facility Purchase or Lease Records	5 years
Maintenance and Repair, Building	Life of building plus 10 years
Maintenance and Repair, Equipment	Life of equipment or until record is obsolete/superseded

**Security and Safety**

Incident and Major Incident Reports	Permanently
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**APPENDIX C – LITIGATION HOLD DOCUMENT**

**BOX LABEL**

<b>LITIGATION HOLD</b>	
<b>Matter Name:</b>	
<b>Box Label Date:</b>	
<b>Filing Sequence (From – To)</b>	<b>Litigation Box Number:</b>
<b>DOCUMENTS MUST NOT BE REMOVED. NO MATERIAL MAY BE INTERFILED IN THIS BOX.</b>	<b>Litigation Hold Review Date</b>

**APPENDIX D – COMPLIANCE STATEMENT**

Ohio Valley Region (OVR) Certification:

\_\_\_\_\_ I certify that I have read the OVR Document Management & Retention Policy.

\_\_\_\_\_ I certify that I currently am in compliance with the the OVR Document Management & Retention Policy, meaning that I have managed all company documents, both printed and electronic, in accordance with the terms of this Policy.

\_\_\_\_\_ (if applicable) I have agreed with the Commissioner that certain portions of my documents should be maintained past their Expiration Date. Those documents and the time periods they will be maintained are set out in the attached list. Commissioner initial:     ]

Date: \_\_\_\_\_

Signature: \_\_\_\_\_

Print or type name here: \_\_\_\_\_