

AFS - USA, Inc.

Record Retention and Destruction Policy

RECORD RETENTION AND DESTRUCTION POLICY

1) Purpose

The purpose of this Policy is to ensure that necessary records and documents are adequately protected and maintained and to ensure that records that are no longer needed by AFS-USA, Inc. (“AFS”) or are of no value are discarded at the proper time. This Policy is also for the purpose of aiding employees of AFS-USA in understanding their obligations in retaining electronic documents - including e-mail, Web files, text files, sound and movie files, PDF documents, and all Microsoft Office or other formatted files.

2) Policy

This Policy represents the AFS-USA policy regarding the retention and disposal of records and the retention and disposal of electronic documents as well as physical records.

3) Administration

Attached as Appendix A is a Record Retention Schedule that is approved as the initial maintenance, retention and disposal schedule for physical records of AFS-USA and the retention and disposal of electronic documents. The Chair of the Record Retention Committee (the “Administrator”) is the officer in charge of the administration of this Policy and the implementation of processes and procedures to ensure that the Record Retention Schedule is followed. The Administrator is also authorized to: make modifications to the Record Retention Schedule from time to time to ensure that it is in compliance with local, state and federal laws and includes the appropriate document and record categories for AFS-USA; monitor local, state and federal laws affecting record retention; annually review the record retention and disposal program; and monitor compliance with this Policy. The Administrator shall advise the Board of Directors or its Executive Committee annually of any changes in the Record Retention Schedule made since the previous report.

4) Suspension of Record Disposal In Event of Litigation or Claims

In the event AFS-USA, or one of its local offices, is served with any subpoena or request for documents or any employee becomes aware of a governmental investigation or audit concerning AFS-USA or a local office or the commencement of any litigation against or concerning AFS-USA or a local office such employee shall inform the Administrator and any further disposal of documents shall be suspended until such time as the Administrator, with the advice of counsel, determines otherwise. The Administrator shall take such steps as is necessary to promptly inform all staff of any suspension in the further disposal of documents.

5) Applicability

This Policy applies to all physical records generated in the course of AFS-USA's operations, including both original documents and reproductions. It also applies to the electronic documents described above.

This Policy was approved by the Executive Committee of the AFS-USA Board of Directors on _____.

APPENDIX A - RECORD RETENTION SCHEDULE

The Record Retention Schedule is organized as follows:

SECTION TOPIC

- A. Accounting and Finance
- B. Contracts
- C. Corporate Records
- D. Correspondence and Internal Memoranda
- E. Electronic Documents
- F. Grant Records
- G. Insurance Records
- H. Legal Files and Papers
- I. Miscellaneous
- J. Payroll Documents
- K. Pension Documents
- L. Personnel Records
- M. Property Records
- N. Tax Records
- O. Contribution Records
- P. Programs & Services Records
- Q. Fiscal Sponsor Project Records

I. GENERAL SCHEDULE FOR ALL SERVICE AREAS

SUGGESTED RETENTION PERIOD

General schedule covers retention of paper and electronic records found in any Service Areas not specifically covered under the Service Area Record section. If General Schedule is in conflict with the Service Area Records, follow the schedule given in the Service Area Records.

Published Materials	Perm
Duplicates - kept in regional offices	Retention mirrors retention of original document
Multimedia Files	5Y+C
Office Documents	5Y+C
E-mails	
Staff, Volunteers	1Y+C
Alumni, Consultants, Interns, Participants	3Y
Faxes	1Y+C
Files	
<i>Uploaded to, downloaded from, stored on 3rd party host site</i>	1Y+C
Instant Messages/Chat Program Messages	1Y+C
General Correspondence	1Y+C
<i>Handwritten</i>	
Scans	1Y+C
Text Messages	1Y+C
AFS Website	Updated
<i>(www.AFS-USA.org)</i>	

II. SERVICE AREA RECORDS

ACCOUNTING, AUDIT, AND FINANCE

SUGGESTED RETENTION PERIOD

Audit Reports (Annual Public Audit and all Government Grant (A-133) and other Audits)	Perm
Federal, State, Local Returns & Reports	Perm
Financial Statements - (Annual and quarterly)	Perm
Investment Records & Supporting Documents	Perm
Property/Corporate Assets Summary	Perm
Reports to Government Agencies	
Present Reports & Work Papers	Perm
Tax Correspondence	Perm
Bank Folders	
<i>Includes account opening, signature cards & related correspondence</i>	
While active	Keep
Once inactive	7Y+C
Bank Statements, A/P, A/R, AUDIT Schedules, Reconciliation Worksheets, Deposit Records, & Work Papers	7Y+C
Finance, Accounting Correspondence	7Y+C
Accounting Policy Manuals	Updated
Lines of Credit and Loan Agreements	Permanent
<i>Includes agreements, correspondence, statements, etc.</i>	
While active	Keep
Once inactive	7Y+C

Disclaimer: When litigation or government investigation related to records is pending, imminent, or, in some cases, foreseeable a Legal Hold should be in effect. Disregard schedule for any record under Hold.

Leasehold Improvements

Contracts	Perm
<i>Includes guarantees, warranties, correspondence, payment records, drawings and plans.</i>	
While active	Keep
Once inactive	7Y+C

AFS PROGRAMS APPLICATION MATERIAL*	SUGGESTED RETENTION PERIOD
---	-----------------------------------

Basic Information

Participants	Perm
Host Families	Perm
Applicants (not selected for program)	5Y+C
Inquirers	5Y+C
All Additional Information	
All Stake Holders	3Y+C

* SEE APPENDIX I

VOLUNTEERS	SUGGESTED RETENTION PERIOD
-------------------	-----------------------------------

Basic Information

Volunteers	Perm
------------	------

* SEE APPENDIX I

BRANDING, COMMUNICATIONS, MARKETING, PUBLIC RELATIONS AND FUNDRAISING	SUGGESTED RETENTION PERIOD
--	-----------------------------------

AFS Video	Perm
AFS Audio and Video advertising and promotional spots and films	Perm
Certificates Issued (Copies)	Perm
Donor Lists and Folders <i>Includes Correspondence.</i>	Perm
Alumni Basic Information (see Appendix I)	Perm
Alumni Relations Materials <i>Includes Correspondence, newsletters, publications, e-mail.</i>	Perm
Fundraising Campaigns	Perm
Fundraising Brochures and other Fundraising materials, whether printed or electronic	Perm
Planned giving Campaigns	Perm
Bequests	Perm
Unit Trust Agreements	Perm
Grant Proposals	Perm
Photo Collection	Perm
Fundraising and Marketing Research Reports	20Y+C
AFS Publications	
While still in print	Keep
After last use for printing	10Y+C
Annual Report to Network	10Y+C
Marketing Material Folders	5Y+C
Research Project Correspondence & Working Papers	2Y+C

Disclaimer: When litigation or government investigation related to records is pending, imminent, or, in some cases, foreseeable a Legal Hold should be in effect. Disregard schedule for any record under Hold.

Information Materials (external & internal)	1Y+C
Websites	Updated
CORPORATE AFFAIRS AND GOVERNANCE	SUGGESTED RETENTION PERIOD
Corporate Records	
<i>Includes Board of Director & Board Committee Folders, minute books, corporate seals, articles of incorporation, bylaws, annual corporate reports, contracts & agreements & duplicates, supporting documents, and articles of partnership; NVA Meeting minutes, reports and notes</i>	Perm
State of Illinois Good Standing Certificates\	Perm
Director Records	
Biographical Folders	Perm
Candidate Records & Handbook	Updated
HUMAN RESOURCES	SUGGESTED RETENTION PERIOD
Earnings Report	Perm
Employee Service Records/Contracts	Perm
Paychecks & Pension Plan Records	Perm
Insurance Carrier Bills, Contracts, Correspondence, Reports	
Active relation	Keep
Once relation ends	10Y+C
Disability & Sick Benefits Records	8Y+C
Personnel Records	
<i>Includes card key folders, medical folders, resumes, I-9's, disability, withholding, exemption certificates, and job descriptions</i>	
Until employee is terminated/or leaves	Keep
After employee is terminated/or leaves	8Y+C
Employment Tax Records	7Y+C
5500 Yearly Report	6Y+C
Insurance Records	6Y+C
EEO Yearly Report & Work Papers	6Y+C
Talent Folders	
Candidate hired	Refile in Personnel Folder
Candidate not hired	1Y+C
Time Reports	1Y+C
Office Services	
Current Building Management Materials	Updated
Expense Reports (purchase forms & correspondence)	1Y+C
Mailing Lists	Updated
Staff Listing	Updated
Employee Handbooks	Updated
OSHA Records	Perm

INSURANCE AND RISK MANAGEMENT	SUGGESTED RETENTION PERIOD
--------------------------------------	-----------------------------------

Insurance Policies & Reports
Includes policies (claims & occurrence basis), all endorsements, all related correspondence, & yearly summary report 20Y+C

Broker & Insurance Consultant Folders
Signed documents & correspondence

Disclaimer: When litigation or government investigation related to records is pending, imminent, or, in some cases, foreseeable a Legal Hold should be in effect. Disregard schedule for any record under Hold.

Description of active relation	Keep
After relation ends	7Y+C
Insurance Claims Folders	
<i>Includes medical claims records, reports, invoices, injury documentation, & correspondences</i>	
Until Settlement	Hold
After Settlement	7Y+C
Risk Management Documents	Updated

LEGAL	SUGGESTED RETENTION PERIOD
Contracts & Agreements	Perm
Leases and Sub-leases	Perm
Copyright & Trademark Folders	Perm
IRS Tax Folders	
<i>Includes Inquiry from IRS & special IRS rulings</i>	Perm
Partner Folders	Perm
Trust & Estate Bequest Folders	Perm
Case Folders (Student & Personnel)	
Support Cases	3Y+C
Threat of Litigation	1Y after statute of limitation runs out
Active Litigation	Perm
Settlement or Judgment Issued	Perm
Correspondence	1Y+C or archived
Standard Forms File	Updated

NETWORK AGREEMENTS	SUGGESTED RETENTION PERIOD
Databases	Perm
Partner Service Evaluation Report	Perm
Program Evaluation Report	Perm
Quality Standards Documents	Updated + (6Y+C)
Correspondence	Updated
Network Monitoring Reports	Updated
Service Evaluation Records	Updated
Partner Negotiations	
<i>Bilateral Agreements with Partners</i>	Perm
<i>Correspondence/Records re: Partner Negotiations</i>	
While active	Keep
Once inactive	3Y+C

COMPLIANCE	SUGGESTED RETENTION PERIOD
Government Correspondence	Perm
CSJET Correspondence	Perm

ORIENTATION AND TRAINING MATERIALS	SUGGESTED RETENTION PERIOD
Orientation Handbooks and Leader's Guides	3Y
Online Participant and Host Family Orientations	3Y
Online Volunteer Trainings	3Y
Participant Handbooks	3Y
Volunteer Handbooks	3Y

Disclaimer: When litigation or government investigation related to records is pending, imminent, or, in some cases, foreseeable a Legal Hold should be in effect. Disregard schedule for any record under Hold.

APPENDIX I
AFS PROGRAMS APPLICATION MATERIAL

Stake Holder	Data Store
Inquirers	<ul style="list-style-type: none"> - Basic Information:: name, addresses, phone numbers, email addresses, birth date, school; - Service Case information if no other service case or affiliation is related
Applicants (Stages of Application, Admission and Preparation)	<ul style="list-style-type: none"> - Basic Information:: name, addresses, phone numbers, email addresses, birth date, school; - Service Case information if no other service case or affiliation is related
Participants	<ul style="list-style-type: none"> - Basic Information:: name, addresses, phone numbers, email addresses, birth date, school - Visa Information:: Place of Birth, State of Birth, Country of Birth, Citizenship, Passport No, Passport License Date, Visited Country - Family Information:: Live With Whom, Parents Name, Parents Address, Parents Phone Numbers, Family Members(Name, Relationship, Living at Home, Birth Date, Country of Birth), Parent who does not live with - AFS Connection:: Programs & Countries Preference, Programs & Countries Attended - Medical Information:: Physical Restrictions & Allergies, Dietary Restrictions, Emergency Information - Education Information:: Native Language, Communication Language, Education Performance, Grade of Study, School Name - Form:: Disclaimer, Self Intro, Health Form(Medical Form), Parenr Remark, Authorization Form, Academic Form, Confidential Form, Consent Form, Local Partner Forms - Picture:: Self Pictures, Family Pictures, Activity Pictures, Video, Audio - Selection Information:: Inquiry Date, Inquiry Source, Inquiry Memo, How did you hear, Follow-up, Scholarship, Fee Amount, Receive Fee Date, Interviewer, Financial Screening, Application - Placement Information:: Accepted Date, Placement Date, Host Contact Person, Responsible Organization, Host Family(Name, Placement Type, Placement Duration), Host School/CPO(Name, - Travel Information:: Travel Date, Travel Itinerary Plan - Misc:: Religious Affiliation, Smoking, Interests & Activities

Host Families	<p>- Basic Information:: Name, Address, Phone Numbers, Email Address, Job Position, Occupation from every family member)</p> <p>- Family Information:: Family Members(Name, Relationship, Living at Home, Country of Birth), Number of Children, Religious Affiliation, Native Language, Communication Language, Family</p> <p>- Placement Information:: Placement Duration, Willing to host a vegetarian or dietary restrictions, Have any pets, Family rule, Gender of willing to host</p> <p>- Facilities:: School(Name, Distance, Transportation), Community(Type, Population, Closest City), Local Recreational and Cultural Facilities, Social and Economic Characteristics, Ethnic Makeup,</p> <p>- Form:: Family Introduction Form, Confidential Form, Local Partner Forms</p> <p>- Picture:: Family Pictures, Activity Pictures, Audio, Video, etc.</p> <p>- Selection Information:: Inquiry Date, Inquiry Source, Inquiry Memo, How did you hear, Follow-up, Interviewer, Financial Screening, Application Stage & Status, Application Close Date & Reason, Responsible Organization, Hosting Program</p> <p>- Hosting Placement Information:: Pax Name, Pax Type, Pax Status, Placement Duration, Hobbies and Interest, Biographical Summary</p>
Alumni	<p>- Basic Information:: Name, Address, Phone Numbers, Email Address, Occupation, Job Position, employer</p> <p>- Program Information:: Program and Country Attended,</p> <p>- Family Information:: Family Member(Name, Relationship, Living at Home, Birth Date, Country of Birth), Relationship, Number of Children, Native Language, Communication Language, Interests and Activities</p>
Volunteers	<p>- Basic Information:: Name, Address, Phone Numbers, Email Address, Occupation, Job Position, employer</p> <p>- Selection Information:: Inquiry Date, Inquiry Source, How did you hear, Action Taken, Follow-up, Inquiry Memo, Registration Form Sent Date, Registration Form Received Date, Interests, Selection Process Date, Criminal Background Check, Selection Memo,</p> <p>- Support Correspondence:: Affiliation Assigned, Activities Attended, Performance and Recognition</p> <p>- Picture:: Picture, Video, Audio, Likeness</p>
Legal and Medical Cases	<p>This section concerns all the data above related to applicants, alumni, volunteers, staff and another other stakeholder in which there is an existing threat of a law suit or an actual law suit, or a medical claim that has not yet been settled. In such a cases the data shall not be deleted in accordance to the above schedule but kept in accord with the statute of limitations in the</p>

* 3 years unless there is an existing law suit or a threat of legal action or medical issues. In such cases, retention period will increase.