

Document Retention/Destruction Policy

This policy specifies how important documents (hardcopy, online or other media) should be retained, protected, and eligible for destruction. The policy also ensures that documents are promptly provided to authorities in the course of legal investigations or lawsuits.

Document Retention Schedule

The following types of documents will be retained for the following periods of time. At least one copy of each document will be retained according to the following schedule:

Corporate Records

Articles of Incorporation	Permanent
IRS Form 1023 to file for tax-exempt and/or charitable status	Permanent
By Laws	Permanent
IRS/FTB Letter of Determination granting tax exempt and/or charitable status	Permanent
Board Policies	Permanent
Resolutions	Permanent
Board and Committee Meeting Agendas/Minutes	Permanent
Sales Tax Exemption Documents	Permanent
Tax ID Number Designation	Permanent
Annual Corporate Filings	Permanent

Financial Records

Chart of Accounts	Permanent
Fiscal Policies and Procedures	Permanent
Audits	Permanent
Financial Statements	Permanent
General Ledger	Permanent
Check Registers/Books	7 years
Business Expenses Documents	7 years
Bank Deposit Slips	7 years
Cancelled Checks	7 years
Invoices	7 years
Investment Records (deposit, earning, withdrawals)	7 years
Property/asset inventories	7 years
Petty cash receipts /documents	7 years
Credit card receipts	7 years

Tax Records

Annual Tax Filing for the organization (IRS Form 990 and FTB Form 199)	Permanent
Payroll Registers	Permanent
Filings of fees paid to professionals (IRS Form 1099)	7 years
Payroll tax returns and withholding returns	7 years
Earnings records	7 years
Payroll tax returns	7 years
W-2 statements	7 years

Personnel Records

<p>Recruitment, Hiring and Job Placement Records</p> <ul style="list-style-type: none"> • Job applications • Resumes • Letters of recommendation • Other job inquiries sent to the Charter School • Job advertisements/postings • Results of non-medical pre-employment tests • Offers of employment • Signed employment disclosures (employee handbook acknowledgment, complaint procedures, etc.) • Employee training (harassment prevention, mandated reporting, etc.) • Employee certificates, credentials, licenses, and other evidence of qualifications 	3 years after separation, or for the duration of any claim or litigation regarding hiring practices
<p>Employee Performance and Other Personnel Records</p> <ul style="list-style-type: none"> • Job descriptions • Training and testing • Performance goals • Performance evaluations • Written feedback and commendations • Promotions and demotions • Letters of reprimand and discipline • Performance Improvement Plans • Termination, resignation, lay-offs, etc. • Notices and letters 	3 years after separation
<p>Employee Medical Leave Records (PDL, FMLA, CFRA, etc.) *</p> <ul style="list-style-type: none"> • Requests for leave • Health care provider notes 	3 years after separation * Records that contain employee

<ul style="list-style-type: none"> • Leave calculations • Records of disputes regarding leave • Employee benefits related to leave • Leave policies 	<p>confidential medical information should be retained in a separate, secure file.</p>
<p>Employee Wage Records</p> <ul style="list-style-type: none"> • Employment agreements • Wage rates and calculations • Shift schedules (hours and days) • Time cards • Individual calculations for absences, sick days, vacation days, etc. • Itemized wage statements/pay stubs 	<p>3 years after separation</p> <p>Note: If a record is both a <i>wage record</i> and a <i>payroll record</i>, follow the longer retention period</p>
<p>Employee Payroll Records</p> <ul style="list-style-type: none"> • Employee name, address, age, and occupation • Individual wage records • Regularly hourly rate • Hours worked (daily/weekly) • Weekly overtime earnings • Daily and weekly straight time earnings • Deductions from or additions to wages • Wages paid each pay period • Pay dates and pay periods • Unemployment Insurance Records 	<p>4 years, generally</p>
<p>Employee Health Records*</p> <ul style="list-style-type: none"> • First-aid records • Job injuries (causing loss of work time) • Drug and alcohol test records 	<p>5 years after separation</p> <p>* Records that contain employee confidential medical information should be retained in a separate, secure file.</p>
<p>Employee Workers' Compensation Records</p> <ul style="list-style-type: none"> • Copies of claim forms • Reports of occupational injury or illness • Letters of denial of benefits • Reports to the Division of Workers' Compensation • Benefits paid • Estimates of future benefits • Applications to the Workers' Compensation Appeals Board • Orders and Awards of the Workers' Compensation Appeals Board 	<p>5 years after date of injury and 2 years after claim has been closed.</p> <p>* Records that contain employee confidential medical information should be retained in a separate, secure file.</p>
<p>Employee Benefit Records</p> <ul style="list-style-type: none"> • Benefits elections • Beneficiary designations • Eligibility determinations • COBRA notices 	<p>6 years after separation, but not less than 1 year following a plan termination.</p> <p>* Records required to determine retirement benefits, including 401(k)</p>

<ul style="list-style-type: none"> • Summary plan descriptions • Other welfare benefit plan information (life, health, disability, long-term care, post-retirement medical) 	and similar plans, must be kept indefinitely.
Chemical Safety and Toxic Exposure Records	30 years after separation (medical records of employees who have worked for less than (1) year for the employer need not be retained beyond the term of employment if they are provided to the employee upon the termination of employment)
Employment Eligibility (I-9 Forms)	The later of (a) 1 year after separation, or (b) 3 years from date of hire.
<p>Note: For simplicity, the Charter School may choose to keep the majority of an employee's personnel file and other records <i>for the duration of employment plus four (4) years</i>. This time period covers nearly every law, with the exception of three (3) types of records, as outlined above, that must be removed from a file before it is disposed of and retained for a longer duration:</p> <ul style="list-style-type: none"> • Pension and welfare plan information (6 years) • First aid records of job injuries causing loss of work time (5 years) • Safety and toxic or chemical exposure records, including safety data sheets (30 years) 	

Insurance Records

Property Insurance Policy	Permanent
Directors and Officers Insurance Policy	Permanent
Workers' Compensation Insurance Policy	Permanent
General Liability Insurance Policy	Permanent
Insurance Claims Applications	Permanent
Insurance Disbursements/Denials	Permanent

Contracts

All insurance Contracts	Permanent
Employment Contracts	7 years after termination
Construction Contracts	Permanent
Legal Correspondence	Permanent
Loan/mortgage Contracts	Permanent
Leases/Deeds	Permanent
Vendor Contracts	7 years
Warranties	7 years

Donations/Funder Records

Grant Dispersal Contract	Permanent
Donor Lists	7 years
Grant Applications	7 years
Donor Acknowledgments	7 years

Management Plans and Procedures

Strategic Plan	7 years
Staffing, programs, marketing, finance, fundraising and evaluation plans	7 years
Vendor Contracts	7 years
Disaster Recovery Plan	7 years

Pupil Records

Mandatory Permanent (<i>Original or copy</i>)	Permanent * (even after student leaves the charter school)
(A) Legal name of pupil	
(B) Date of birth	
(C) Method of verification of birth	
(D) Sex of pupil	
(E) Place of birth	
(F) Name and address of parent of minor pupil	
1. Address of minor student if different than above	
2. Annual verification of the name and address of the parent and the residence of the pupil	
(G) Entering and leaving date of each school year and for any summer session or other extra session	
(H) Subjects taken during each year, half-year, summer session or quarter	
(I) If marks or credit are given, the mark or number of credits toward graduation allows for work taken.	
(J) Verification of or exemption from required immunizations	
(K) Related Master Plan student documents	
Mandatory Interim (<i>Original or copy</i>)	At least 3 school years after the student leaves the charter school or usefulness ceases.
(A) A log or record identifying those persons (except authorized school personnel) or organizations requesting or receiving information from the record. The log or record shall be accessible only to the legal parent or guardian or the eligible pupil, or a dependent adult pupil, or an adult pupil, or the custodian of records.	
(B) Health information, including Child Health Developmental Disabilities Prevention Program verification or waiver.	
(C) Participation in special education programs including required tests, case studies, authorizations, and actions necessary to	

establish eligibility for admission or discharge.	
(D) Language training records.	
(E) Progress slips and/or notices as required by Education Code Sections 49066 and 49067.	
(F) Parental restrictions regarding access to directory information or related stipulations.	
(G) Parent or adult pupil rejoinders to challenged records and to disciplinary action.	
(H) Parental authorizations or prohibitions of pupil participation in specific programs.	
(I) Results of standardized tests administered within the preceding three years.	
Permitted Records (Original or copy)	At least 6 months after the student's completion of or withdrawal from the charter school.
(A) Objective counselor and/or teacher ratings.	
(B) Standardized test results older than three years.	
(C) Routine discipline data.	
(D) Verified reports of relevant behavioral patterns.	
(E) All disciplinary notices.	
(F) Attendance records not used for apportionment or compulsory education.	
Miscellaneous	1 year after the claim has been settled or after the statute of limitations has run out.
Individual student injury record for which a claim was filed	
Emails	If an email falls into one of the above categories for permanent, interim, or permitted records, it shall be printed, placed in the student's file, and maintained consistent with the time periods above.

Document Protection

Documents (hardcopy, online or other media) will be stored in the following manner by Ocean Charter School:

Corporate Records: Stored on a password protected website and copies are in the Director's office

Financial Records: Originals are in a locked filing cabinet at ExEd, Copies are in a locked filing cabinet in the Office

Tax Records: Originals are in a locked filing cabinet at ExEd, Copies are in a locked filing cabinet in the Office

Personnel Records: Originals are in a locked cabinet in the Office, Copies are in a locked filing cabinet at ExEd

Insurance Records: Originals are in a locked filing cabinet in the Office, Copies are in a locked filing cabinet at ExEd

Contracts: Originals are in a locked filing cabinet in the Office, Copies are in a locked filing cabinet at ExEd

Donation/Funder Records: Stored in the Front Office

Management Plans and Procedures: Stored in the Front Office

Pupil Records: Stored in a locked filing cabinet onsite during the duration of the student's attendance at the school and can be transferred to off-site storage upon the student's graduation or disenrollment.

Document Destruction

Documents will be destroyed by shredding after they have been retained until the end of the Document Retention Schedule. Electronic copies will be destroyed by proven means to destroy such media after they have been retained until the end of the Document Retention Schedule.

Provision of Documentation for Investigations or Litigation

Documents requested and subpoenaed as authorized by law will be provided in the timeframes outlined in law. The Board Chair and Executive Director will authorize provision of documents. No documents will be concealed, altered or destroyed with the intent to obstruct an investigation. Litigation, or pending litigation.

Electronic Documents and Records

Electronic documents, including emails, shall be retained according to the document retention schedule based on the substance of the electronic document.