

DOCUMENT RETENTION POLICY

Sage Oak Charter Schools (“SOCS” or the “Charter School”) adopt this Document Retention Policy with respect to the management and retention of documents and other records, both in physical hard copy or electronic media (collectively referred to as “documents” in this Policy).

Policy and Purposes

Purposes of the Policy include:

1. Retention and maintenance of documents necessary for the proper functioning of SOCS as well as to comply with applicable legal requirements;
2. Destruction of documents that no longer need to be retained; and
3. Guidance for staff with respect to their responsibilities concerning document retention and management.

As set forth in the Document Retention Schedule (“Schedule”) below, staff should make efforts to retain certain documents on a permanent or semi-permanent basis. Nevertheless, the Schedule is not meant to be a comprehensive list of all documents requiring preservation. Instead, staff should, to the extent not identified below, exercise discretion in maintaining all documents necessary and convenient to their work, the work of their teams, and SOCS, generally.

Google Suite and Other Forms of Electronic Communications

SOCS assigns all staff unique usernames that provide access to a suite of tools known as Google Suite. This suite of tools includes Google Drive, Google Docs, Google Sheets, Google Slides, Google Gmail, and Google Hangouts. These tools are provided at SOCS’s expense to assist staff members with carrying out SOCS business by allowing a means for internal and external communication with necessary individuals and organizations. The tools shall be used only for SOCS related business purposes to the maximum extent possible.

Staff should keep in mind that while Google Drive, Google Docs, Google Sheets, and Google Slides serve important functions in the orderly management and retention of records for the SOCS (see Schedule), Google Gmail and Google Hangouts do not. Nevertheless, provisions have been made to automatically retain Google Gmail messages and their related attachments for a period of time:

Retention Window for Gmail messages and their relate attachments
One year

During the retention window, staff may organize and sort incoming or outgoing emails and attachments **for permanent retention** as necessary or convenient to their responsibilities. Staff may do so through either the

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built-in tagging or starring functionality of Gmail, or by downloading individual emails for storage in a more permanent repository.

If an email has not been tagged or starred within the retention window (e.g., within one (1) year of receipt for staff), the email will be automatically deleted.

For staff, Google Hangouts messages will be automatically retained for at most seven (7) days. Should any information within Google Hangouts require retention beyond that time, staff should copy and paste such information into a more permanent repository.

Other forms of electronic communications, such as iMessage, SMS Messages, Skype, and WhatsApp, should not be used to communicate information requiring retention for any period of time. SOCS does not currently maintain a centralized method for storing or managing such communications for information necessary or convenient to SOCS’s operations. As such, any important information should be migrated from such platforms on a daily basis and the communications expunged. A failure to do so may expose individual staff members to substantial burden in searching, collecting, and organizing such communications upon request.

Document Retention Schedule

Each staff member shall take responsibility for sorting and retaining SOCS documents and records as directed in the following Schedule. Compliance with the following Schedule may be satisfied by retaining such documents in either paper or electronic form. To the extent not identified below, all staff should exercise discretion in maintaining all documents necessary and convenient to their work, the work of their teams, and SOCS, generally.

<u>Document Type</u>	<u>Retention Period</u>
Accounting and Finance	See SOCS Fiscal Policies and Procedures Manual
Corporate and Tax Exemption	
Articles of Incorporation and Amendments	Permanent
Bylaws and Amendments	Permanent
Minute Books (e.g., Board & Committee Minutes)	Permanent
Annual Reports/Filings to Attorney General and	

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Secretary of State	Permanent
Other Corporate Filings	Permanent
IRS Exemption Application Form	Permanent
IRS Exemption Determination Letter	Permanent
State Exemption Application	Permanent
State Exemption Determination Letter	Permanent
Licenses and Permits	Permanent
Employer Identification Number (EIN) Designation	Permanent
Correspondence and Internal Memoranda	
Board correspondence	Permanent
Hard copy correspondence and internal memoranda considered important to SOCS or having lasting significance	Permanent (subject to periodic review)
Hard copy correspondence and internal memoranda relating to routine matters with no lasting significance	12 months
Employment, Personnel and Pension	
Personnel Records	10 years after employment
Employee Contracts	10 years after employment
Retirement and Pension Records	Permanent

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Insurance

Property, D&O, Workers' Compensation and General
Liability Insurance Policies

Permanent

Insurance Claims Records

Permanent

Contracts

Contracts (including related correspondence and
other supporting documentation)

See SOCS Fiscal Policies and Procedures Manual

Policies and Procedures

Network-wide Policies and Procedures

Current with revision history

Property

Property Records

Permanent

Construction Files

Permanent

Tax

See SOCS Fiscal Policies and Procedures Manual

Compliance Records

Form 700s

Permanent

Application Documents for Approved Private and
Public Grants

See SOCS Fiscal Policies and Procedures Manual