

September 1, 2023

**DOCUMENT MANAGEMENT & RETENTION
POLICY**

OF

ROCKY MOUNTAIN REGION OF USA VOLLEYBALL, INC.

Rocky Mountain Region (RMR)

Document Management & Retention Policy

Table of Contents

1. PAPER DOCUMENTS.....	3
2. ELECTRONIC DOCUMENTS.....	3
A) EMAILS.....	3
B) ALL OTHER DOCUMENTS.....	3
3. EXCEPTIONS.....	4
4. LITIGATION HOLDS.....	4
5. EMPLOYEE SEPARATION.....	4
6. DOCUMENT DESTRUCTION.....	4
7. ANNUAL CERTIFICATION.....	4
APPENDIX A – DOCUMENT BOX LABEL.....	5
APPENDIX B – DOCUMENT RETENTION SCHEDULE.....	6
APPENDIX C – LITIGATION HOLD DOCUMENT.....	11
APPENDIX D – COMPLIANCE STATEMENT.....	12

Purpose: RMR has business needs and obligations to retain and safeguard documents, both paper and electronic. This policy sets out how RMR 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 RMR 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 departments are free to adopt paper filing systems, which may include individual and department-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 RMR and RMR’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

The current platform for storing emails is RMR’s Microsoft 365 suite of software. This means that an employee’s work email storage should be through Microsoft Outlook, using either (i) subfolders under the user’s “Inbox” on Microsoft Outlook, or (ii) subfolders under the “Online Archive – RMR” folder on Microsoft Outlook. Each department may adopt its own approach to the use of these two areas, as best serves its needs.

b) All Other Documents

The current platform for storing documents is RMR’s Microsoft 365 suite of software. This means that an employee’s electronic documents storage must be through Microsoft 365, using (i) the employee’s “OneDrive” resource, and/or (ii) a departmental SharePoint site. Each department may adopt its own approach to the use of these two areas, as best serves its needs.

3. 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 Executive Director of the RMR and note the document(s) in the annual Document Retention Policy Compliance Statement (see below).

4. Litigation Holds

From time to time, the Executive Director 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 [NGB] and must be honored at all times.

5. Employee Separation

At the conclusion of an employee's employment at RMR (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.

6. 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 Executive Director of the RMR will ensure that all RMR 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 RMR 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 RMR 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.

7. Annual Certification

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

APPENDIX A – DOCUMENT BOX LABEL

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

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.

Accounting and Finance

Retirement Plan Documents and Agreements, Current	Duration of agreement plus 1-3 years
Insurance Claims	7-10 years after closing of claim
Account Payable Ledgers, Invoices and other Supporting Records	5-7 years
Accounts Receivable Ledgers, and Records	8-10 years
Asset Depreciation Schedules	7 years after disposal of asset
Bank Statements and reconciliations	4-7 years
Cash Books, Journals	4-7 years
Cash Receipts, Checks and Deposit Slips	4-7 years
Expense Reports, Travel Reports, P-Cards	5-7 years
External Audit Reports	permanently
General Ledger	8-10 years
Grants	8-10 years
Insurance Policies, both Active and Cancelled	permanently
Insurance Documents	permanently
Inventory Records	4-7 years
Investment Records	5-7 years
Payroll Records and payroll tax records	5-7 years
Petty Cash Documentation	4-7 years
RFP Bids	8-10 years
Tax Returns with Attached Schedules	maintained permanently
VIK Reporting	maintained permanently

Athlete Services

Athlete Support (file by athlete)	8-10 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	8-10 years
Negative Anti-Doping Test Results and Reports	1-2 years
Paralympic Athlete Classification Consent and Evaluation Forms	permanently
Paralympic Athlete Medical Declaration Forms	8-10 years
Paralympic National Classification Policies and Procedures	8-10 years
Paralympic Protest and Appeal Filings	permanently
Paralympic Training and Education Documents and Presentations	8-10 years
Performance Test Results	permanently
Scientific Performance Research	permanently

Selection Procedures (Olympic, Paralympic, Pan Am, Parapan Am)	8-10 years
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Communications

Press Releases, News Releases, and Other Official Statements	permanently
Website Content Agreements	7 years after expiration or termination

Contributions/Development/Marketing

Archive samples of sponsor, supplier, and licensee promotional ads and merchandise	permanently
Donor and all gift records including signed pledge agreements, research products, gift and tax receipts, biographical information, and substantive donor communications	permanently
Donation acknowledgements, hospitality program terms and conditions and pledge reminders	7-10 years
Grant proposals, awards letters and reports	permanently
Marketing Contract Summaries, Contracts, and Side Letters	7-10 years after expiration or termination
Records of contributions	permanently
Royalty Reports	7-10 years
Sponsor/Supplier/Licensee Consequential Correspondence	7-10 years

Corporate Records/Legal

All permissions for use of others' copyrighted material	permanently
Annual Reports	permanently
Athlete Safety Participant Information	permanently
Athlete Safety Policy	permanently
Athlete Safety Incident Reports	permanently
Athlete Safety Investigations	permanently
Athlete Safety Education, training and messaging	3-5 years
Confidentiality Agreements	7-10 years after expiration or termination
Confidentiality and Non-Disclosure Agreements	permanently
Contracts and Agreements	2-7 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	3-5 years
Invention Assignment Agreements	permanently
Litigation/Arbitration Cases	7-10 years from close of proceedings
NGB Governance Documents, including Bylaws,	permanently

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	
Organizational Charts	generally maintained permanently
Original Copyright and Trademark Registrations, Renewals, Documents, Work Papers, Memoranda, Correspondence, Etc.	generally maintained permanently
OSHA Inspection Records	5-7 years
Records Destruction Certificate	generally maintained permanently
Records Management Procedures - Expired	8-10 years
Records of efforts not to infringe any copyright, trademark, patent, trade secret, etc.	generally maintained permanently
Request for Deviation from Records Retention Schedule	as long as record is kept under the exception plus two years
Royalty and Licensing Records	generally maintained permanently
Trademark Search Reports and Enforcement Activities (Cease and Desist Letters, Cancellation or Opposition Actions, Etc.)	generally maintained permanently
U.S. Center for SafeSport Audit Reports	8-10 years
USOPC Grants and Agreements	8-10 years

Employee Documents/Human Resources

Affirmative Action Plans	6-10 years
Applications and Resumes (Not Hired)	1-2 years
EEO Data Collection Forms	6-10 years
EEO Records and Reports	6-10 years
Employee Benefits Plan Documents and Amendments	generally maintained permanently
Employee Exposure Records	20-30 years
Employee Handbooks and Policies	generally maintained permanently
Employee Medical Records	20-30 years
Employment Eligibility Verification (I-9) Forms	The longer of the duration of employment plus one year or 3 years.
Individual Employee Benefit Records	7-10 years
Job Postings, Orders, Advertisements, and Recruiting Records	8-10 years
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 a recommended 7-10 years
Records of Disability Accommodation Requested and Provided	Duration of employment plus a recommended 7-10 years
Records of Discrimination/Harassment Complaints, Investigations, and Responsive Actions	Generally maintained permanently
Records of FMLA Leave Requested and Provided	Duration of employment plus a

	recommended 7-10 years
Restructuring/Reduction-in-Force Documentation	7-10 years
Severance and Separation Agreements	generally maintained permanently
Worker's Compensation documents	7-10 years

General Documents

All records not otherwise identified in this Records Retention Schedule	4-6 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	1-2 years
Letters requesting specific action such as name or address change, which have no further value after changes are made or action taken	1-2 years
Meeting/Conference Call Reports	1-2 years
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.	1-2 years
Unimportant letters and notes which require no acknowledgment or follow-up, such as notes of appreciation, congratulations, letters of transmittal, and plans for meetings	1-2 years

High Performance

High Performance Plans	8-10 years
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Medical

Department of Health Inspection Records	generally maintained permanently
Medical Records - Adult	7 years after the date of last treatment
Medical Records – Minor	Until age 25
Sports Medicine Research	generally maintained permanently
Testing Consent Form	8-10 years

Property Records/Facility Maintenance

Building Plans and Specifications - Inactive	1-2 years
Facility and Equipment Records	generally maintained permanently
Facility Blueprints	generally maintained permanently
Facility Purchase or Lease Records	generally maintained permanently
Maintenance and Repair, Building	Generally life of building plus 10 years or until record is obsolete/superseded
Maintenance and Repair, Equipment	generally life of equipment or until record is obsolete/superseded

Security and Safety

Incident and Major Incident Reports	generally maintained permanently
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APPENDIX C – LITIGATION HOLD DOCUMENT

BOX LABEL

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

APPENDIX D – COMPLIANCE STATEMENT

[NGB] STAFF Certification:

_____ I certify that I have read the **[NGB]** Document Management & Retention Policy.

_____ I certify that I currently am in compliance with the **[NGB]** 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 **[General Counsel]** that certain 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. [General Counsel to initial: _____]

Date: _____

Signature: _____

Print or type name here: _____