

Division of University Advancement

Records Management and Retention Policy

December 2009

Bryant University is subject to numerous record retention requirements that are mandated by federal, state and internal regulations. This policy and the accompanying Retention Schedules outline the division of University Advancement's guidelines for maintaining, protecting and destroying records in an appropriate manner.

1. Purpose

The Records Management and Retention Policy has the following objectives: 1) To ensure that all University Advancement legal, historical, fiscal, business and administrative requirements are satisfied before records are destroyed; 2) To conserve staff time, resources and space by removing inactive or obsolete materials from files, thereby releasing equipment and facilities for other uses and avoiding further acquisition of file space; and, 3) To maintain a regular, controlled flow of records from offices to destruction or storage.

2. Confidentiality Requirement

In the course of working at Bryant University, employees have access to confidential information about the University, its students, alumni, parents, employees and other constituencies. Generally speaking, as a matter of state and federal law and/or University policy, such information must be held in strict confidence and not divulged to persons either within or outside the University community in order to protect individual privacy and University business. Please reference the division of University Advancement's Confidentiality Guidelines, available here:

<G:\ADVANCEMENT SVCS Forms and Resources\Advancement Services manuals\UA Confidentiality Guidelines.doc> for specific guidelines regarding the confidentiality of Advancement documents and records.

3. Document Retention

All Advancement documents must be maintained in accordance with the attached document retention tables (4); namely, retention schedules for the departments of University Relations, Development, Alumni Relations, and Advancement Services.

4. Electronic Document Retention

The term "electronic document" means any record that is created, received, maintained or stored on any University computing equipment or storage device. Electronic documents are to be maintained subject to the same schedule as paper-based documents and are subject to discovery during audits and investigations.

5. Records Storage

Periodically, University Advancement records will be sent to an offsite storage facility for long-term storage. All records should be stored in accordance with the University Advancement Main Files: Policies and Procedures document located here: <G:\ADVANCEMENT SVCS Forms and Resources\Advancement Services manuals\Main Files Policies and Procedures 10-2009.docx>

6. Disposal and Destruction of Records

As required and/or scheduled, disposal and destruction of records is to occur in one of the following ways:

- Recycle non confidential paper records
- Shred or otherwise render unreadable confidential paper records
- Erase or destroy electronically stored data

7. Divisional Databases

Information stored on University Relation's databases, Extensis (*photography*) and Clients and Profits (*project & asset management*), and Vocus (*press releases*) is sufficiently maintained for future references. Permanent storage of these items will be burned to DVD's and stored in the library for archival purposes.

Information stored on the Banner Advancement database in the form of contact/call reports (AMACONT/APACONT) and comment paragraphs (AMACOMT/APACOMT) is sufficiently maintained for future reference. As a general rule, permanent storage of this information in the form of paper or scanned images is redundant and unnecessary. Exceptions to this policy may include the following items:

- Obituary notices with photos
- Press releases with photos
- Legal agreements/Attorney documents
- Gift/Pledge source documents with signatures
- Annual and Endowed scholarship agreements
- Donor Correspondence (in certain instances)

8. Email Communication

Email communication is an integral part of the official business communication of the University Advancement division. Emails sent or received contain information about business activities and therefore can function as evidence of the division's business transactions.

All email messages created using University systems are University property. Courts have accepted email as a legitimate source of evidence, and it is therefore subject to legal processes such as

subpoena. Subsequently, emails are considered official business communication when they provide evidence of University business activities (e.g., directives regarding policy or procedural issues, business transactions, receipts, etc.), and in such cases, should be printed/scanned and retained in accordance with departmental retention schedules.

Informational messages with a business context but not part of a business transaction (e.g., meeting invites, etc.) as well as personal or social messages should be destroyed as part of normal operating procedures. While retained on the University's electronic messaging system, such messages are subject to legal processes.

9. Schedules

Associated with this policy document are four schedules, namely:

- a) Advancement Services and Development: Biographical and Relationship Management Records
- b) Advancement Services and Development: Gift Processing Records
- c) Alumni Relations
- d) University Relations

Division: University Advancement

Department: University Relations

Date: December 2009

Document	Retention Period	Location	Destruction/archive
Printed Samples	2 years	traffic manager's file cabinet	recycle
			3 samples of every piece is sent to the library in a labeled box at the end of each fiscal year for archiving (as well as a pdf of each publication sent to library as completed)
Electronic Project Files			
Art files	3 years	designer's hard drive	
	then the next 2 years-burned to dvd's	stored in traffic manager's dvd collection	recycled
Photography	3 years	department database-extensis	
	then removed from database, burned to dvd's	stored in department's photo file cabineet	dvd's sent to library for archiving
Photo press releases	5 years	clients and profits database	deleted
Press Releases	1 year	department database- vocus	pdfs sent to library on a bi-annual basis for archiving
Physical Job Tickets			
All supporting docs: (word docs, rounds of changes, approval forms, estimates, invoices, etc) pertaining to production of a job	1 year		shredded
Electronic job tickets/database			
All assets stored in database:(purchase order requests, check requests, packing slips, invoices, vendor estimates, etc)	5 years	database on server	purged

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Division: University Advancement
Department: Advancement Services and Development
Biographical and Relationship Management Records
Date: December 2009

Document	Divisional Retention Period	Location	Applicable Regulation
CONSTITUENT-RELATED			
Alumni Admission Connections applications	None - Data recorded on Banner	n/a	n/a
Stories in Bryant publications	None - Data recorded on Banner and Bryant publications housed in University archives	n/a	n/a
Child photos	None	Destroy	n/a
Constituent photos	Recommended: Store on UR photo database server	UR photo database server - on campus	n/a
Correspondence received from constituents (not stored on APACOMT/APACONT or AMACOMT/AMACONT)	Store in prospect folder until 2 years following death of prospect*	Secure Records Management	n/a
Correspondence to constituents (not stored on APACOMT/APACONT or AMACOMT/ AMACONT)	Store in prospect folder until 2 years following death of prospect*	Secure Records Management	n/a
Data verification forms	None - Data recorded on Banner	n/a	n/a
Death notices/obituaries	Store in prospect folder until 2 years following death of prospect*	Secure Records Management	n/a
Freshman Parent forms	None - Data recorded on Banner	n/a	n/a
Grant proposal applications	15 years	Secure Records Management	n/a
Loyal Guard Surveys	None - Data recorded on Banner	n/a	n/a
Newspaper articles (Non-Bryant publications)	Store in prospect folder until 2 years following death of prospect*	Secure Records Management	n/a
Other photos	Recommended: Store on UR photo database server	UR photo database server - on campus	n/a
Prospect research documents	Store in prospect folder until 2 years following death of prospect*	Secure Records Management	n/a
Prospect Strategy sheets	Store in prospect folder until 2 years following death of prospect*	Secure Records Management	n/a

Division: University Advancement
Department: Advancement Services and Development
Biographical and Relationship Management Records
Date: December 2009

Document	Divisional Retention Period	Location	Applicable Regulation
Scholarship Stewardship reports	5 years	File cabinets in VPUA office suite	n/a
Spouse photos	Recommended: Store on UR photo database server	UR photo database server - on campus	n/a
Wedding announcements	Store in prospect folder until 2 years following death of prospect*	Secure Records Management	n/a
Wills	Store in prospect folder until 2 years following death of prospect, unless endowed fund is created (see Gift Processing Records schedule)*	In file cabinets in lower UA office suite	n/a
INTERNAL DOCUMENTS			
Budget documents	5 years after conclusion of fiscal year	Budget Assistant filing area	n/a
Procurement card documentation and receipts	2 years	Budget Assistant filing area	n/a
Vendor Contracts	2 years after conclusion of contract	Budget Assistant filing area	n/a
	*Item(s) will be reviewed by prospect manager for archival value prior to destruction. Appropriate items will be forwarded to University Archives.		

Division: University Advancement
Department: Advancement Services and Development
Biographical and Relationship Management Records
Date: December 2009

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Division: University Advancement
Department: Advancement Services and Development
Biographical and Relationship Management Records
Date: December 2009

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Division: University Advancement
Department: Advancement Services and Development
Gift Processing Records
Date: December 2009

Document	Bryant Retention Period	Compliance Retention Period	Compliance	Location
Adjustment Batch Reports <i>Includes:</i> Gift, Pledge, and related documentation	7 years	Statute of limitations runs 3 years after the return is filed, whichever is later	Compliance Guide for 501 (c)(3) Public Charities	<u>Current FY:</u> Within office locked file cabinets <u>Previous FY:</u> Basement Storage <u>2+ years:</u> Offsite at Secure Records Management LLC 275 Ferris Avenue E. Providence, RI 02916
Charitable Gift Annuity and Charitable Remainder Trust Agreements (Expendable)	Destroy upon donor or prospective donor's death, with the exception of records that are to be held through the settlement of the donor's estate	Destroy upon donor or prospective donor's death, with the exception of records that are to be held through the settlement of the donor's estate		In Prospect Folder/Development Files
Charitable Gift Annuity and Charitable Remainder Trust Agreements (Perpetual)	Permanent	Permanent		In Prospect Folder/Development Files
Estate Settlement Documentation/Forms (Expendable)	Records are to be held through the settlement of the donor's estate	Records are to be held through the settlement of the donor's estate		In Prospect Folder/Development Files
Estate Settlement Documentation/Forms (Perpetual)	Permanent	Permanent		In Prospect Folder/Development Files

Document	Bryant Retention Period	Compliance Retention Period	Compliance	<u>Location</u>
Gift Batch Reports <u>Includes:</u> GAF, Gift Intent, Gift acknowledgment letters, Stock transfer, Receipts, Matching gift forms, source documents, and other related documentation	7 years	Statute of limitations runs 3 years after the return is filed, whichever is later	Compliance Guide for 501 (c)(3) Public Charities	<u>Current FY:</u> Within office locked file cabinets <u>Previous FY:</u> Basement Storage <u>2+ years:</u> Offsite at Secure Records Management LLC 275 Ferris Avenue E. Providence, RI 02916
Grant Agreement Forms <u>Includes:</u> All grant documentation, whether programmatic/technical or financial in nature	7 years			Offsite at Secure Records Management LLC and Controller's Office
Pledge Batch Reports <u>Includes:</u> Telefund and Major pledge agreements with GAF's, Senior Class Gift, Campus Campaign, and other related documentation	7 years	Statute of limitations runs 3 years after the return is filed, whichever is later	Compliance Guide for 501 (c)(3) Public Charities	<u>Current FY:</u> Within office locked file cabinets <u>Previous FY:</u> Basement Storage <u>2+ years:</u> Offsite at Secure Records Management LLC 275 Ferris Avenue E. Providence, RI 02916
Scholarships (Annual) Agreements	7 years after last gift			Onsite file cabinets managed by the Associate Director of Stewardship
Scholarships (Endowment) Agreements	Permanent			Onsite file cabinets managed by the Associate Director of Stewardship