



POLICIES & PROCEDURES

Revised January 2017

Found online at:

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**TROUP COUNTY BOARD OF REALTORS®
POLICIES & PROCEDURES
Revised 11/2016**

I. ASSOCIATION OFFICE FACILITIES:

A. Keys

The following persons shall have keys to the building.

Association Executive Director
President
Vice President
Janitor (as provided by the Lessor)

Keys will be turned in to the Association Executive Director upon completion of term of office or, expiration of lease.

B. Use of facilities

1. The facilities to be used by tenants as specified in leases.
2. Use of the facilities for REALTOR® functions can be approved by the Association Executive Director and the President. In the event of a disagreement final approval will rest with the Executive Committee.
3. All non-REALTOR® use of the facilities must be approved by the Executive Committee.

C. Smoking

The building leased by the Troup County Board of REALTORS® is a non-smoking building.

II. DISCRIMINATION

The Troup County Board of REALTORS® does not discriminate in its membership or hiring policies and is an Equal Opportunity housing and hiring organization.

III. COMMITTEE REPORTING

All activities and budget items of Standing and Special Committees must be approved by the Executive Committee prior to implementation. Reported by current Vice President.

IV. ASSOCIATION ATTORNEY

- A. The Executive Committee and the Board of Directors shall each year at the January Board of Directors meeting name an attorney to act as Association Attorney. There shall be no retainer paid, but the attorney shall be paid for work done on a per diem basis, with approval of the Board of Directors.

- B. All contacts, of whatever nature, to the Association's attorney must be made through the Association Executive Director and the President in all matters concerning the Association. Individual members contacting the Association's attorney on their own behalf must be responsible for any fees charged.

V. **SERVICES BY ASSOCIATION STAFF**

- A. Charges for services of the Association Staff and office equipment (i.e. copy and fax machine) to be determined by Association Executive Director.

VI. **MEDIA POLICY**

- A. The President shall be the spokesperson for the Troup County Board of REALTORS®. Other officers, directors and committee chairpersons, when representing the Troup County Board of REALTORS® on REALTOR® matters and activities should first submit any news releases to the President and Association Executive Director for approval.

VII. **SOLICITATION**

- A. No dues monies of the Troup County Board of REALTORS® will be spent for donations to charitable organizations unless specifically budgeted.
- B. All solicitation of REALTOR® and/or Affiliate members for funds for REALTOR® related activities must be first approved by the Board of Directors.

VIII. **MEMBERSHIP ROSTERS**

- A. Current membership rosters of the Troup County Board of REALTORS may be purchased as follows:

REALTOR® Members	\$ 0.00
Affiliate Members	\$ 0.00
Non-Members	\$ not allowed to be distributed

- B. The above lists on labels will be an additional \$35.00

IX. **HARRASSMENT COMPLAINT POLICY/PROCEDURES**

Harassment of Association Staff

Harassment is illegal conduct and is contrary to the policy of the association.

As used in association policy, harassment means any verbal or physical conduct including threatening or obscene language, unwelcome sexual advances, stalking, actions including strikes, shoves, kicks, or other similar physical contact, or threats to do the same, or any other conduct with the purpose or effect of unreasonably interfering with an individual's work performance by creating a hostile, intimidating or offensive work environment.

Complaint Procedure

Any employee who believes that he/she has suffered harassment by any member of the association must bring the problem to the attention of the President or Executive Vice President. The complaint does not have to be in writing; however, it is helpful if details of dates, times, places and witnesses, if any, to the harassment alleged can be provided.

All complaints will be investigated promptly and with strictest confidentiality by an investigatory team comprised of the President, and Vice President and one (1) member of the Board of Directors selected by the highest-ranking officer not named in the complaint after consultation with legal counsel for the association. If the complaint involves the President, and Vice President, they shall be replaced on the investigatory team by the immediate Past President or, alternatively, by another member of the Board of Directors selected by the highest-ranking officer not named in the complaint.

Both the complainant and the accused will be provided a full opportunity to present their cases. Witnesses interviewed will be provided only such information as is necessary to elicit from them their observations and other relevant information.

Disciplinary action against any member found to have harassed an association employee may include verbal or written warning, probation, suspension or expulsion depending on the gravity of the incident. Prior incidents of similar behavior shall be taken into consideration when determining the appropriate disciplinary action. Such decision shall be made by the investigatory team.

Clear, strong, and convincing shall be the standard of proof by which alleged allegations of harassment are determined. Clear, strong, and convincing shall be defined as that measure or degree of proof which will produce a firm belief as to the validity of the allegations sought to be established.

It is contrary to the policy of the association for a member to retaliate against any employee who files a charge of harassment. All possible steps will be taken to eliminate the possibility of retaliation resulting from the filing of a complaint.

In the event a complaint of harassment is found to be totally and completely without basis, appropriate disciplinary measures may be taken against the employee who brought the complaint. While this is in no way intended to discourage employees who believe they have been the victim of harassment from bringing a complaint, the association recognizes that a charge of harassment can cause serious damage to the personal reputation and professional career of the accused.

X. **DUTIES OF OFFICERS AND DIRECTORS**

A. **President**

1. Function

Serves as the Chief Elected Officer of the Troup County Board of REALTORS®. Oversees the affairs of the Association, with the assistance of other elected officers and staff. Presides at all meetings of the Association, including the Board of Directors, between the sessions of which he/she represents the Association and acts in its name, subject to declared policy. Appoints all committees, serves as an ex-officio member of all committees, and shall perform all duties usual to such office.

2. Specific Responsibilities

Within the limits of the charter and bylaws of the Association and policies established by the Board of Directors, the President, with appropriate delegations:

- a. Presides at all meetings of the Association, including the Board of Directors and Special Called Meetings;
- b. Determines the substance of the agenda for meetings of the Board of Directors;

- c. Keeps the membership and the Board of Directors informed on the conditions and operations of the Association and the real estate industry;
- d. Serves as spokesperson for the Association in conjunction with the Association Executive Director;
- e. Directs the Board of Directors in formulating policies and programs which will further the goals and objectives of the Association;
- f. Conducts an annual review of the organizational performance and effectiveness of the Association, including a review of the Association Executive Director's performance;
- g. Monitors expenditures to assure operation within the annual budget;
- h. Signs checks along with Vice President, Secretary/Treasurer, Past President and Association Executive Director;
- i. Prepares and presents an annual report;
- j. Is expected to attend the following meetings if possible;

GAR - Inaugural Meeting in January, Convention in September or October,
Leadership Training and Professional Standards Training.
NAR - Mid Winter Meeting, Mid-Year Meeting, Convention.

B. Vice president

1. Function

Serves as Vice President and President-Elect of the Troup County Board of REALTORS®. Assists the President in overseeing affairs of the Association when called on by the President. Assists President in appointing Committee Chairman, especially Vice Chairpersons who will move up to Chairman during his/her term as President. Represents the Association locally in the absence of the President. Serves on the Board of Directors.

2. Specific Responsibilities

Within the limits of the charter and bylaws of the Association and policies established by the Board of Directors, the Vice President, with appropriate delegations:

- a. Serves as Program Chairman, securing programs for the quarterly General Meeting luncheons, with the approval of the President and the Board of Directors;
- b. Attends new member orientation whenever possible; Attends all Leadership Training and Professional Standards Training.
- c. Attends all Board of Directors meetings and as many of the Association functions as possible;
- d. Signs checks along with President, Secretary/Treasurer, Past President and Association Executive Director;
- e. Reports to the Board of Directors all Committee Reports and actions.

3. Other Responsibilities

Develops a management team to adequately meet the needs of the Association membership. Oversees new member orientation, working with the membership chairperson, Professional Standards Chairperson, Education Chairperson to develop an orientation program. Works with Education Committee Chairman to see that education programs are offered that meet the needs of the members. Works with Community Service Committee Chairman, Equal Opportunity Chairman, Professional Achievement Awards Chairman, and Strategic Planning Chairman.

C. **Secretary / treasurer** - Administration & Finance

1. Function

Oversees the financial and administrative operations of the Troup County Board of REALTORS® and serves on the Board of Directors.

2. Specific Responsibilities

Within the limits of the charter and bylaws of the Association and policies established by the Board of Directors, the Secretary/ Treasurer - Administration & Finance, with appropriate delegations:

- a. Serves as chairman of the Finance Committee;
- b. Works with the Association Executive Director to prepare the Budget;
- c. Signs checks with the President, Vice President, Past President & Association Executive Director;
- d. Oversees preparation of quarterly financial statements and annual audit;
- e. Serves on the Building Trustees Committee;
- f. Is expected to attend all Board of Directors meetings. Also, all Association functions whenever possible;
- g. Is expected to attend Leadership Training and Professional Standards Training;
- h. Serves as Corporate Secretary.
- i. Assists Association Executive Director in layout, design, content and preparation of the quarterly newsletter;
- j. Sees that all Board minutes are prepared and distributed on time;

D. **Local and state directors** - Governmental Affairs

1. Function

Oversees all Governmental and Political Affairs and determines the basic policies of the Association. Develops a management team to see that the Association is kept aware of developments in this arena on a National, State and Local level. Works with Chairs of Legislative & License Law Committee and RPAC chairman. Serves on the Board of Directors.

2. Specific Responsibilities – included but not limited to be a liaison to committees selected by the executive committee.
 - a. Is expected to attend all Board of Directors meetings. Also, all Association functions whenever possible;
 - b. State Directors are expected to attend GAR meetings, the Inaugural conference/meeting in January/February, the Convention in September/October, *and attend the Board of Directors meetings at these state conventions to cast your vote. 6/8/17 suggested content.*
 - c. Local Directors are expected to attend Leadership Training and Professional Standards Training.
 - d. Write one article for the quarterly newsletter
 - e. Attend the local annual planning session

E. Association Executive Director

1. Function

Serves as the Chief Paid Association Executive Director, responsible to the Board of Directors for the effective conduct of the affairs of the Association. Recommends and participates in formulation of Association mission, goals, objectives, and related policies. Within that framework, plans, organizes, coordinates, and supervises the staff, programs and activities of the Association. Also, serves as liaison to committees and the Board of Directors.

2. Specific Responsibilities

Within the limits of the charter and bylaws of the Association and policies established by the Board of Directors, the Association, Association Executive Director, with appropriate delegations:

- a. Establishes administrative policies and procedures for headquarters functions;
- b. Establishes the organizational structure for the Association office and the related staff structure;
- c. Administers an effective personnel program which includes position description, performance standards, performance appraisals, and a compensation system;
- d. Develops and supervises an effective program of membership development and membership services within the limits and facilities of the staff;
- e. Develops and maintains a publications program which is responsive to the needs of the membership;
- f. Develops and conducts an education program, in cooperation with the membership, to advance the professional/technical/managerial skills of the membership;
- g. Conducts research necessary to the Association and informs the membership, elected officials and others as appropriate;

- h. Maintains effective internal and external public relations;
- i. Serves as spokesperson for the Association in conjunction with the Board President;
- j. Manages the finances of the Association, including the preparation of the annual budget and long-range forecast of needs;
- k. Insures the legal integrity of the Association;
- l. Plans and coordinates meetings of the Board of Directors and elected officials of the Association as well as general membership meetings;
- m. Monitors and assists committees of the Association and elected officials;
- n. Assists, serves and cooperates with Association President, officers and directors;
- o. Maintains an active interest in civic organizations and community betterment;
- p. Joins local civic clubs/organizations that complement the REALTOR® association.
- q. Maintains a strong working relationship with all components of the REALTOR® organization;
- r. Participates in activities of the NATIONAL ASSOCIATION OF REALTORS®, but waives the requirements for payment of dues and the right to use the REALTOR® title;
- s. The Association Executive Director shall be required to attend the following functions: All local Association Committee meetings, Board of Directors and Executive Committee meetings, General membership meetings and Association Sponsored Educational Seminars; GAR - Association Executive Seminar, Regional AE meeting, Inaugural and Convention meetings, Planning and Leadership Training and Professional Standards Training, NAR Association Executives Institute.

F. Committee chairperson

1. Function

Chair all Committee meetings during appointed term of office. Coordinate with committee members and staff to achieve assigned objectives. Liaison with elected officers and other Committee leadership as required.

2. Specific Responsibilities

Within the limits of the charter and bylaws of the Association and policies established by the Board of Directors, the Committee Chairmen, with appropriate delegation:

- a. Chairs all Committee meetings during his/her appointed term of office;
- b. Liaisons with elected officers and staff to develop annual Committee objectives;
- c. Oversees the progress of Committee members in completing assigned projects;
- d. Develops, with staff, the final agenda for each meeting;
- e. Approves minutes after each meeting;

- f. Carries Committee actions and concerns to the Board of Directors;
- g. Provides input to staff for completion of the annual planning and budgeting cycle;
- h. Recommends to elected officers' potential Committee leadership, as required;
- i. Prepares Vice Chairman to assume leadership role following year by including him/her in the activities of the committee (i.e. train your replacement);

XI. **GUIDELINES/ASSOCIATION EXPENSES**

A. President's expenses - general

- 1. Troup County Board of REALTORS® to cover the President's meal at the Chamber Annual Banquet and Early Bird Breakfast's, if in attendance.
- 2. Troup County Board of REALTORS® to cover expenses incurred for required functions, other than GAR and NAR (expenses are detailed below), i.e. GAR Leadership Conference, etc.). Meals, lodging (if necessary) and transportation at amount allowed by IRS for automobile expenses, reimbursement for use of personal vehicle with approval of Secretary/Treasurer.

B. President- General

- 1. Troup County Board of REALTORS® to cover expenses incurred for GAR and NAR conventions at the levels detailed below. Meals, lodging (if necessary) and transportation at amount allowed by IRS for automobile expenses, reimbursement for use of personal vehicle with the approval of the President and or Secretary / Treasurer.

C. Association Executive Director's Expense - general

- 1. Troup County Board of REALTORS® to cover expenses for Chamber Annual Dinner and Early Bird Breakfast's, if in attendance and any other functions (Spouse not included)
- 2. Troup County Board of REALTORS® to cover expenses incurred for required functions, other than GAR and NAR conventions (those expenses detailed below, i.e. GAR Leadership Conference, etc.). Meals, lodging (if necessary) and transportation at amount allowed by IRS for automobile expenses, reimbursement for use of personal vehicle with the approval of the President and or Secretary/ Treasurer.

D. Convention expenses

1. President

Will be given \$550.00 to cover registration, lodging, meals and transportation.

	<u>President</u>	<u>Spouse</u>
Registration Fee	Included	Not included
Lodging (Conv. Hotel)	Included	Not Included
Meals, tips	Included	Not Included
Transportation	Included	not included

2. Association Executive Director

Will be given up to \$1000.00 for lodging, meals and transportation

All registrations, regular or Early Bird will be paid by TCBOR.
The Association Executive Director at no time will incur any expense on behalf
The TCBOR.

GAR - Georgia Association of REALTORS
NAR - National Association of REALTORS
NAR - Association Executives Institute
GAR - Association Executives Seminar
GAR - Association Executive Regional Conference
AE Training and classes at NAR or GAR or local level
Local Clubs – represents TCBOR civic clubs (approved by President)

Registration	Regular or Early Bird included
Lodging	Actual
Meals, Tips	Actual
Transportation	Included
Club dues	Actual

3. Other Officers and Directors

Each State Director (2) or their substitute(s) will be given \$250 (of \$500 total budget) to cover registration, lodging, meals and transportation if they obtain a minimum of 6 GAR approved CE hours by attending a minimum of 2 GAR sponsored CE Courses. In the event a substitute votes on behalf of State Director(s), then they would be entitled to the same reimbursement if they meet the State Director Policy on education requirements. ***(Revised 2/25/16 BOD meeting)***

4. General Information

- a. All transportation costs are based on amount allowed for automobile expenses by the IRS for reimbursement of expense of using your private vehicle for the above trips or most inexpensive airfare.
- b. Expense account forms to be completed with receipts attached and turned in to the Association office within two (2) weeks following return from trip, if reimbursement is desired. All documentation to be approved by the Treasurer.
- c. The above amounts are to be considered a general guide for the expenses of the President, Vice -President, and *must not exceed* the budgeted amount for each office.
- d. All expenditures subject to review by the Secretary/ Treasurer.

XII. **ALCOHOL & EVENT POLICY**

1. There will be NO alcohol at any formal TCBOR event or luncheon *unless prior approval* is given by the Board of Directors. There will be a \$1,000 fine to the broker if this policy is broken by any agents of his/her office. (Revised 8/26/2016)
2. TCBOR requires all members to refrain from personal or company promotions including, but not limited to, t-shirts, marketing materials, and name tags at TCBOR events unless prior approval is given by the Board of Directors. Members should promote the entire Troup County Board of REALTORS® *only* at all events. (Revised 9/15/2016 BOD Meeting)

XIV. **CARAVAN**

1. This is a members-only benefit to TCBOR primary & secondary REALTOR® members.
2. There will be a total of two (2) food ads allowed for each week's Caravan – 1 lunch & 1 dessert. They will be allotted on a first come-first serve basis. Email receipt times and fax receipt times will be used in this decision. (This not only allows two agents to offer something extra at their Caravan listing, but it also allows agents to each offer something different – attracting agents to BOTH listings.)
3. The Caravan should only be used to exhibit property as a “new listing” and for one-time only. However, if there is a significant change in the listing, the agent may run it again at a later date. Examples: price reductions or significant renovations (new paint throughout, new flooring, etc.)
4. Gift cards, drawings, and other items can be given at listed property.
5. Caravan time is from 10:00 am til 2:00 pm unless otherwise noted on the Caravan Request Form
6. To add or remove a listing to/from Caravan, all guidelines should be followed as stated in the “Caravan Guidelines”.

XV. **WHISTLEBLOWER**

A whistleblower is an employee of the Troup County Board of REALTORS® who reports information that he/she has reasonable cause to believe discloses a violation of state or federal law to one or more of the parties specified in this Policy.

If an employee has information which he/she reasonably believes discloses a violation of state or federal law, the employee should contact his/her immediate supervisor or the TCBOR President, or the General Counsel. Employees are also permitted to contact the appropriate law enforcement or government agency. The employee must exercise sound judgment to avoid baseless allegations. An employee who intentionally files a false report of wrongdoing will be subject to discipline up to and including termination.

Insofar as possible, the confidentiality of the whistleblower will be maintained. However, identity may have to be disclosed to conduct a thorough investigation, to comply with the law or to provide accused individuals their legal rights of defense. The Company will not retaliate against a whistleblower or any employee who refuses to participate in an activity that would result in a violation of state or federal law. This includes, but is not limited to, protection from retaliation in the form of an adverse employment action such as termination, compensation decreases, or poor work assignments and threats of physical harm. Any employee who believes he/she is being retaliated against must contact the President of the Troup County Board of REALTORS® immediately. The right of a whistleblower for protection against retaliation does not include

immunity for any personal wrongdoing that is alleged and investigated, or disclosures that would constitute a violation of the attorney-client privilege. *(taken from NAR 2007 Whistleblower Policy)*

XVI. **RECORD RETENTION**

1) Purpose

The purpose of this Policy is to ensure that necessary records and documents of TCBOR are adequately protected and maintained to ensure that records that are no longer needed by TCBOR or are of no value are discarded at the proper time. This Policy is also for the purpose of aiding employees of TCBOR 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 TCBOR's policy regarding the retention and disposal of records and the retention and disposal of electronic documents.

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 TCBOR and the retention and disposal of electronic documents. The Association Executive Director ("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 TCBOR; monitor local, state and federal laws affecting record retention; annually review the record retention and disposal program; and monitor compliance with this Policy.

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

In the event TCBOR is served with any subpoena or request for documents or any employee becomes aware of a governmental investigation or audit concerning TCBOR or the commencement of any litigation against or concerning TCBOR, 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 TCBOR's operation, including both original documents and reproductions. It also applies to the electronic documents described above.

This Policy was approved by the Board of Directors of TCBOR on September 17, 2015.

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

ACCOUNTING AND FINANCE

Record Type	Retention Period
Accounts Payable ledgers and schedules	7 years
Accounts Receivable ledgers and schedules	7 years
Annual Audit Reports and Financial Statements	Permanent
Annual Audit Records, including work papers and other documents that relate to the audit	7 years after completion of audit
Annual Plans and Budgets	2 years
Bank Statements and Canceled Checks	7 years (delete all account and routing numbers)
Employee Expense Reports	7 years
General Ledgers	Permanent
Interim Financial Statements	7 years
Notes Receivable ledgers and schedules	7 years
Investment Records	7 years after sale of investment

Record Type	Retention Period
Credit card records (documents showing customer credit card number)	2 years

CREDIT CARD RECORD RETENTION AND DESTRUCTION

All records showing customer credit card numbers must be destroyed via shredder or made illegible by authorized staff.

If it is determined that information on a document, which contains credit card information, is necessary for retention beyond 2 years, then the credit card number will be cut out of the document.

CONTRACTS

Record Type	Retention Period
Contracts and Related Correspondence (including any proposal that resulted in the contract and all other supportive documentation)	7 years after expiration or termination

CORPORATE RECORDS

Record Type	Retention Period
Corporate Records (minute books, signed minutes of the Board and all committees, corporate seals, articles of incorporation, bylaws, annual corporate reports)	Permanent
Licenses and Permits	Permanent

CORRESPONDENCE AND INTERNAL MEMORANDA

General Principle: Most correspondence and internal memoranda should be retained for the same period as the document they pertain to or support. For instance, a letter pertaining to a particular contract would be retained as long as the contract (7 years after expiration). It is recommended that records that support a particular project be kept with the project and take on the retention time of that particular project file.

Correspondence or memoranda that do not pertain to documents having a prescribed retention period should generally be discarded sooner. These may be divided into two general categories:

- a) Those pertaining to routine matters and having no significant, lasting consequences should be discarded within two years. Some examples include:
 - Routine letters and notes that require no acknowledgment or follow-up, such as notes of appreciation, congratulations, letters of transmittal, and plans for meetings.

- Form letters that require no follow-up.
- Letters of general inquiry and replies that complete a cycle of correspondence.
- Letters or complaints requesting specific action that have no further value after changes are made or action taken (such as name or address change).
- Other letters of inconsequential subject matter or that definitely close correspondence to which no further reference will be necessary.
- Chronological correspondence files.

Please note that copies of interoffice correspondence and documents where a copy will be in the originating department file should be read and destroyed, unless that information provides reference to or direction to other documents and must be kept for project traceability.

- b) Those pertaining to non-routine matters or having significant lasting consequences should generally be retained permanently.

ELECTRONIC DOCUMENTS

1. Electronic Mail: Not all email needs to be retained, depending on the subject matter.
 - All e-mail—from internal or external sources—is to be deleted after 12 months.
 - Staff will strive to keep all but an insignificant minority of their e-mail related to business issues.
 - TCBOR will archive e-mail for six months after the staff has deleted it, after which time the e-mail will be permanently deleted.
 - All TCBOR business-related email should be downloaded to a service center or user directory on the server.
 - Staff will not store or transfer TCBOR -related e-mail on non-work-related computers except as necessary or appropriate for TCBOR purposes.
 - Staff will take care not to send confidential/proprietary TCBOR information to outside sources.
 - Staff with more than 500MB in their e-mail account will be unable to send or receive messages until the size of their account is reduced. Staff will be notified by our technology company as their account size approaches 500 MB.
 - Any e-mail staff deems vital to the performance of their job should be copied to the staff's network drive folder, and printed and stored in the employee's workspace.
2. Electronic Documents: including Microsoft Office Suite and PDF files. Retention also depends on the subject matter.
 - PDF documents – The length of time that a PDF file should be retained should be based upon the content of the file and the category under the various sections of this policy. The maximum period that a PDF file should be retained is 6 years. PDF files the employee deems vital to the performance of his or her job should be printed and stored in the employee's workspace.
 - Text/formatted files - Staff will conduct annual reviews of all text/formatted files (e.g., Microsoft Word documents) and will delete all those they consider unnecessary or outdated. After five years, all text files will be deleted from the network and the staff's desktop/laptop. Text/formatted files the staff deems vital to the performance of their job should be printed and stored in the staff's workspace.
3. Web Page Files: Internet Cookies
 - All workstations: Internet Explorer should be scheduled to delete Internet cookies once per month.

TCBOR does not automatically delete electronic files beyond the dates specified in this Policy. It is the responsibility of all staff to adhere to the guidelines specified in this policy.

Each day TCBOR will run a backup copy of all electronic files (including email) on TCBOR's servers, to an external hard drive as specified. This backup is a safeguard to retrieve lost information within a one-year retrieval period should documents on the network experience problems. The backup copy is considered a safeguard for the record retention system of TCBOR, but is not considered an official repository of TCBOR records. All monthly and yearly backups are stored offsite.

In certain cases a document will be maintained in both paper and electronic form. In such cases the official document will be the electronic document.

INSURANCE RECORDS

Record Type	Retention Period
Annual Loss Summaries	10 years
Audits and Adjustments	3 years after final adjustment
Certificates Issued to TCBOR	Permanent
Claims Files (including correspondence, medical records, injury documentation, etc.)	Permanent
Group Insurance Plans - Active Employees	Until Plan is amended or terminated
Group Insurance Plans – Retirees	Permanent or until 6 years after death of last eligible participant
Inspections	3 years
Insurance Policies (including expired policies)	Permanent
Journal Entry Support Data	7 years
Loss Runs	10 years
Releases and Settlements	25 years

LEGAL FILES AND PAPERS

Record Type	Retention Period
Legal Memoranda and Opinions (including all subject matter files)	7 years after close of matter

Litigation Files	1 year after expiration of appeals or time For filing appeals
Court Orders	Permanent
Requests for Departure from Records Retention Plan	10 years

MISCELLANEOUS

Record Type	Retention Period
Consultant's Reports	2 years
Material of Historical Value (including pictures, publications)	Permanent
Policy and Procedures Manuals – Original	Current version with revision history
Policy and Procedures Manuals - Copies	Retain current version only
Annual Reports	Permanent

PAYROLL DOCUMENTS

Record Type	Retention Period
Employee Deduction Authorizations	4 years after termination
Payroll Deductions	Termination + 7 years
W-2 and W-4 Forms	Termination + 7 years
Garnishments, Assignments, Attachments	Termination + 7 years
Labor Distribution Cost Records	7 years
Payroll Registers (gross and net)	7 years
Time Cards/Sheets	2 years
Unclaimed Wage Records	6 years

PERSONNEL RECORDS

Record Type	Retention Period
Membership Records	3 years
Commissions/Bonuses/Incentives/Awards	7 years
EEO- 1 /EEO-2 - Employer Information Reports	2 years after superseded or filing (whichever is longer)
Employee Earnings Records	Separation + 7 years
Employee Handbooks	1 copy kept permanently
Employee Medical Records	Separation + 6 years
Employee Personnel Records (including individual attendance records, application forms, job or status change records, performance evaluations, termination papers, withholding information, garnishments, test results, training and qualification records)	6 years after separation
Employment Contracts – Individual	7 years after separation
Employment Records - Correspondence with Employment Agencies and Advertisements for Job Openings	3 years from date of hiring decision
Employment Records - All Non-Hired Applicants (including all applications and resumes - whether solicited or unsolicited, results of post-offer, pre-employment physicals, results of background investigations, if any, related correspondence)	2-4 years (4 years if file contains any correspondence which might be construed as an offer)
Job Descriptions	3 years after superseded
Personnel Count Records	3 years
Forms I-9	3 years after hiring, or 1 year after separation if later

PROPERTY RECORDS

Record Type	Retention Period
Correspondence, Property Deeds, Assessments, Licenses, Rights of Way	Permanent

Original Purchase/Sale/Lease Agreement	Permanent
Property Insurance Policies	Permanent

TAX RECORDS

~~General Principle: Donors Forum must keep books of account or records as are sufficient to establish amount of gross income, deductions, credits, or other matters required to be shown in any such return.~~

These documents and records shall be kept for as long as the contents thereof may become material in the administration of federal, state, and local income, franchise, and property tax laws.

Record Type	Retention Period
Tax-Exemption Documents and Related Correspondence	Permanent
IRS Rulings	Permanent
Excise Tax Records	7 years
Payroll Tax Records	7 years
Tax Bills, Receipts, Statements	7 years
Tax Returns - Income, Franchise, Property	Permanent
Tax Workpaper Packages - Originals	7 years
Sales/Use Tax Records	7 years
Annual Information Returns - Federal and State	Permanent
IRS or other Government Audit Records	Permanent

CONTRIBUTION RECORDS

Record Type	Retention Period
Records of Contributions	Permanent
TCBOR's documents evidencing terms of gifts	Permanent

FISCAL SPONSOR PROJECT RECORDS

Record Type	Retention Period
Sponsorship agreements	Permanent

Revision History – Adopted by Board of Directors

- 11/19/15 – Event Policy; combined Alcohol & Event Policy in one section
- 9/17/15 – Whistleblower & Document Retention
- 8/20/16 – Alcohol Policy update; Added current Caravan policy to this document
- 9/15/16 - Event Policy revised
- 1/26/17 – AE Title Change to Association Executive Director