

PORTLAND STATE UNIVERSITY

American Association of University Professors

Promoting Quality Higher Education – An Investment in Oregon's Future

Association Policy – 15

Document Retention Policy

(Adopted October 31, 2024)

Purpose:

This document constitutes the Document Retention Policy and Procedures (hereinafter the “Policy”) of the Portland State University Chapter of American Association of University Professors (PSU-AAUP). PSU-AAUP records must be retained so long as the records are: (1) necessary to the current conduct of Union business; (2) required to be retained by applicable statute or regulation; (3) relevant to pending or foreseeable investigations or litigation; or (4) of historical value to the Union.

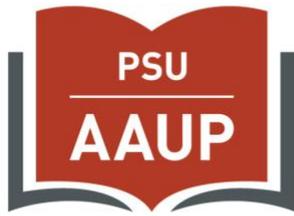
Policy:

1. Coverage. The Policy covers the PSU-AAUP Office(s) and Committees. All PSU-AAUP Officers, Office Staff, Committee members and Local Union representatives are required to adhere to this Policy.
2. Administration of the Policy. The PSU-AAUP Executive Council will administer the Policy. The Executive Council may delegate its administrative responsibilities under this Section to the Administrative Director.
3. Document Retention Schedule. Records of the PSU-AAUP Office, and PSU-AAUP Committees must be maintained in accordance with the attached Document Retention Schedule. The Administrative Director will conduct an annual review of both document retention schedules to ensure that the timeframes comport with applicable law, rule, or regulation and meet the Union’s needs. Any amendments to either document retention schedule must be made in accordance with Section 12, below.
4. Education and Updates. The Administrative Director will ensure that all PSU-AAUP Office employees, and Executive Council members are notified of and educated on the Policy prior to its implementation. In the event that either document retention schedule is revised, Administrative Director will issue an electronic notice with the revised document retention schedule to those employees affected by the change(s). This policy and any updates will be included on the PSU-AAUP website.

* Requirement prescribed by rule, law, or regulation.

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5. Electronic Records. All records, including those maintained in electronic format, are covered by the Policy. Documents in electronic format may be retained and disposed of in the same manner as hard copy documents. If not causing spatial issues in the database, electronic documents may be kept indefinitely, in Archived folders. Electronic mail is not covered by the Policy.

6. Retention Method. Documents may be stored electronically and/or in hard copy, depending on the retention method prescribed in the applicable document retention schedule. Where the applicable document retention schedule indicates “E,” one copy of the document must be stored electronically, as defined below, and any hard copies must be destroyed. Where the applicable document retention schedule indicates “E and H,” one copy of the document must be stored electronically with a hard copy backup. Where the applicable document retention schedule indicates “E or H,” the document may be retained either as an electronic copy or in hard copy format. For example, documents of a certain type may have been retained in hard format in previous years but are now saved only in electronic format.

a. When saving documents electronically, please make efforts to minimize redundancies in electronic storage. For example, several employees should not maintain separate electronic copies of the same document unless necessary.

b. Maintain backup systems for all electronic storage.

c. Officers, employees, and Committee members are required to observe the following:

i. Method of Electronic Retention, PC Users. PC users must retain the required electronic documents using PSU-AAUP systems (e.g. Dropbox), unless the Document Retention Schedule prescribes another method.

ii. For documents created and used in Google Workspaces, those documents should be reviewed yearly, and all archival documents transferred to Dropbox for archival purposes. Any living documents subject to change may remain in Google Workspace.

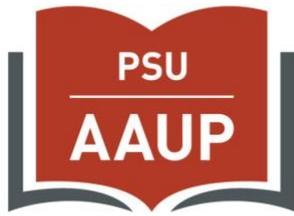
iii. Other Methods. If the Document Retention Schedule prescribes another method of electronic storage, the document should be stored via that vehicle only, unless stated otherwise in the retention schedule.

7. Retention Timeframes Established by Law, Rule or Regulation. Notwithstanding any retention periods set forth in the applicable document retention schedule, PSU-AAUP

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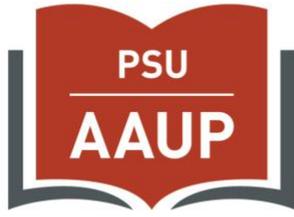
records must be retained for at least the minimum period established by applicable law, rule, or regulation.

8. Destruction of Records. Destruction of PSU-AAUP records shall be carried out in accordance with the Policy and the applicable document retention schedule. All documents containing the personally identifiable information (e.g., full name, home address, date of birth, social security number) of an employee or member shall be shredded and all other documents shall be recycled. Any questions regarding destruction of documents should be directed to the President or their designee. If the purging entity believes that any document may be of historical significance, the documents should be provided to the Executive Council for review.
9. Pending or Foreseeable Litigation or Investigation. The destruction of records shall be suspended immediately upon receipt of legal process or other notice of pending or foreseeable investigation or litigation. In the event PSU-AAUP receives notice of pending or foreseeable litigation, the Administrative Director will issue a Red Alert Notice to all affected. The Red Alert Notice will provide instructions to those affected as to how to proceed. Immediately upon receipt of a Red Alert Notice, the Executive Council and its designees shall ensure that all records are secured to prevent the destruction of documents. This suspension shall be lifted only upon written authorization from the President or their designee.
10. Annual Audit. The Administrative Director, with the assistance of the Executive Council, will conduct an annual audit of PSU-AAUP records to ensure adherence to the Policy.
11. Violations of the Policy. Failure on the part of any PSU-AAUP employee to follow the Policy may result in civil and/or criminal sanctions against the organization and its employees, and/or disciplinary actions against the employees responsible. PSU-AAUP managers, Committee Chairs and Local Union representatives are required to periodically review any subordinates' document retention practices to ensure that they are in compliance with the Policy.
12. Interpretation & Amendment of Policy. The Executive Council shall be responsible for interpreting the Policy. Any proposed amendments to the Policy or the document retention schedules must be submitted to and approved by the Executive Council. Amendments approved by the Executive Council will take effect immediately.
13. Effective Date. The Policy shall take effect as follows: October 31, 2024.

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GENERAL RECORDS

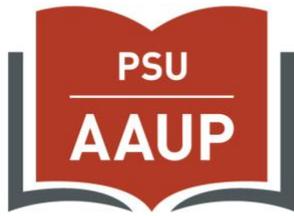
(Applicable to all Departments, Offices, & Committees)

Record Type	Description	Retention Period	Retention Method E = Electronic H = Hard Copy
Policies & Procedures	---	Permanent	E only
Organizational Records	Charters & unit certifications	Permanent	E or H
Invoices	Original receipts for Office Departments or Committees	6 years**	E or H
Event Files	Including restaurant/hotel/event contracts & invoices (excludes drafts)	6 years**	E or H
Budget Proposals	For Office Departments or Committees	6 years	E

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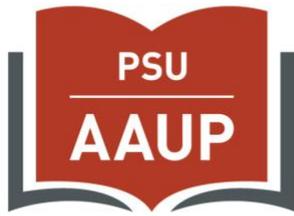
EXECUTIVE OFFICE - GENERAL

Record Type	Description	Retention Period	Retention Method E = Electronic H = Hard Copy
Executive Board Meeting Minutes	---	Permanent	E
National Constitution & Bylaws	---	Permanent	E & H
Convention Transcripts	---	Permanent	E
"Local/Union" Formal Correspondence	Correspondence between "Local/Union" Executive Officers and outside organizations or individuals	10 years	
Letters from Members to Executive Office	---	10 years	E
Per Caps Affiliations and Records	----	Permanent	E

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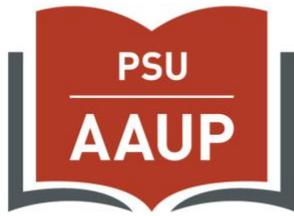
LEGAL

Record Type		Description	Retention Period	Retention Method E = Electronic H = Hard Copy
Election Protests		---	Permanent	E
DFR/ULP Charges		---	Permanent	E
Internal Union Grievances		---	Permanent	E
Election Files	Official Election Reports	Official results of elections	Permanent	E
	General	Rules, nominations, ballots, etc	Permanent	E
Litigation Files		---	Permanent	E
Employment & Consulting Contracts		---	5 years from end of contract	E & H
EEO Records		---	5 years from date of resolution**	E & H
Commercial Contracts		---	5 years from end of contract	E & H
Office Leases		---	5 years from end of contract; Otherwise Permanent	E & H
SRF-18 Demands & Responses		---	5 years from resolution	E & H
Licensing Agreements		---	5 years from end of contract	E & H

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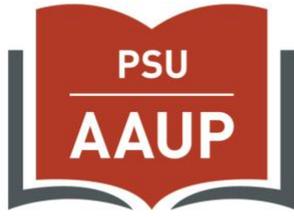
Miscellaneous Correspondence	---	5 years	E or H
Third Party Subpoenas	& Related documents	1 year from date of resolution	E & H
COBRA Records	---	Permanent	E

Unemployment/Workers’ Compensation Records	---	Permanent	E (via COBRA administrator)	
Insurance Documents	Medical, vision, dental & life insurance for employees	Permanent	E (via company’s online storage)	
Employee Personnel Files	Employee Personnel Files but excluding information on any disciplinary actions)	---	Permanent	E & H
	Disciplinary actions involving suspensions of more than 5 workdays	---	5 years from date of action***	E or H
	Disciplinary actions not involving suspensions of more than 5 workdays	---	5 years from date of action***	E
OSHA Records	General	Log of incidents	5 years*	E
	Specific Employee	Medical records or records re: exposure	Employee’s tenure plus 30 years*	E

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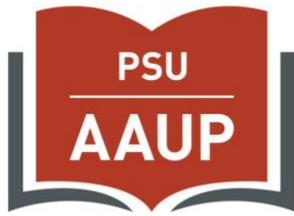
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Employment Applications	---	10 years from end of contract; Otherwise Permanent	E
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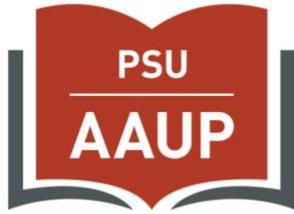
LABOR RELATIONS

Record Type	Description	Retention Period	Retention Method E = Electronic H = Hard Copy
Docket of Open & Closed Cases	---	Permanent	E
Term Bargaining Documents	Briefing notes, bargaining notes, & correspondence	Permanent	E
Memoranda of Understanding (Midterm)	---	Permanent	E
Negotiability Appeal Submissions & Decisions	---	Permanent	E
Bargaining Impasse Submissions & Decisions	---	Permanent	E
Legal Research	---	Permanent	E
Notices from Admin	Layoff/Termination or Recall notices	Permanent	E
FOIA Requests & Responses	---	10 years	E
NTSB Investigation Files	---	10 years	E
Survey Requests & Results	---	10 years	E
Staff Meeting Minutes	---	10 years	E

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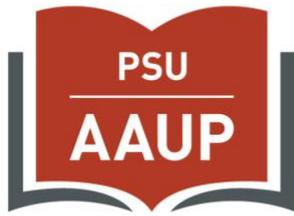
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Litigation Files	ULP files, grievance files, settlement agreements, arbitration decisions, FLRA/NLRB decisions, OWCP files, & briefs/submissions	Permanent	E
Collective Bargaining Documents (Midterm)	Article 7/Union-initiated briefing requests & bargaining notes	Permanent	E
Training Materials	Field & internal	As needed	E
Academy Attendance Records	For past training classes	Permanent	E
Banquet Event Orders	---	2 years	E

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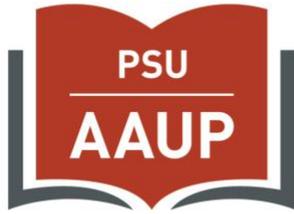
ACCOUNTING

Record Type	Description	Retention Period	Retention Method E = Electronic H = Hard Copy
Fixed Assets Analysis	Schedules	Permanent	E or H
Payroll	Employee personnel files, payroll tax files, & other withholding reports	Permanent	E or H
Audit Schedules	---	7 years**	E
Bank Deposit Slips	---	7 years**	E or H
Bank Statements	---	7 years**	E or H
Cancelled Checks	---	7 years**	E or H
Dues Collection Information	---	7 years**	E or H
Expense Reports	Expense vouchers & related receipts	7 years**	E or H
Financial Reports	Monthly & annual financial statements, general ledger, accounts payable reports, journal entries, & deposit detail	7 years**	E or H

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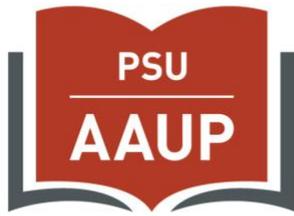
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Insurance Policies/Claims	---	7 years**	E or H
LM Filing Documents	Including Local Facilities' documents	7 years**	E or H (Local E via membership database)
Vendor Files/Payments	---	7 years**	E or H

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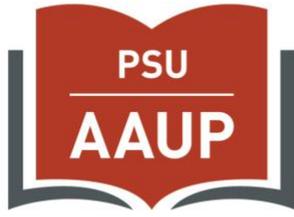
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Tax Documents	Income Taxes	990, 990T, 1120, & 5500	Permanent	E or H
	AIP Vendor Tax Reports	1098 & 1099	7 years**	E or H
	Personal Property	Multiple locations	7 years**	E or H
	Sales & Use Tax Return	Quarterly or annually	7 years**	E or H
	Real Estate	Income & expense reports, leasing reports	7 years**	E or H
	Foreign & Domestic Report	---	7 years**	E or H
	Group Tax Returns	Annual Audits & Reviews	Permanent	E or H
Annual Members' Reports	---	7 years**	E or H	

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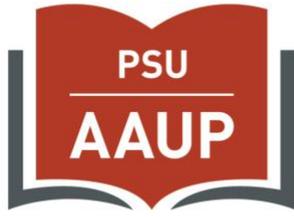
MEMBERSHIP RECORDS

Record Type	Description	Retention Period	Retention Method E = Electronic H = Hard Copy
Membership Files	1187s & membership applications	Permanent	E (via membership database)
Dues Terminations	1188s & related correspondence	Permanent	E (via membership database)
Dues Rebates	---	Permanent	E (via membership database)
Retirement Seminar Documentation	---	Permanent	E (via membership database)
Dues Withholding Reports	---	Permanent	E (via membership database)
PAC Contribution Reports	---	Permanent	E (via membership database)
Local Constitutions	---	Permanent	E (via membership database)
Payroll Correspondence	1187 Letters	5 years	E or H
Scholarship Applications	& Related correspondence	5 years	E

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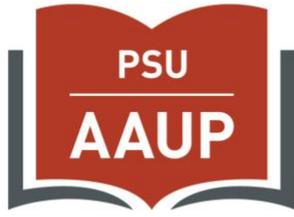
GOVERNMENT AFFAIRS

Record Type	Description	Retention Period	Retention Method E = Electronic H = Hard Copy
Testimony	---	Permanent	E or H
One-pagers	---	Permanent	E or H
Backup Materials on Legislation	---	Permanent	E or H
Position Papers	---	7 years	E only
Floor Statements	---	Permanent	E only
White Papers	---	Permanent	E only
PAC Forms	Payroll deduction authorization form with PAC donor’s signature	3 years from last deduction*	E (via membership database)
PAC-related Documents	Bank statements, invoices, receipts, vouchers, etc.	3 years*	E and H

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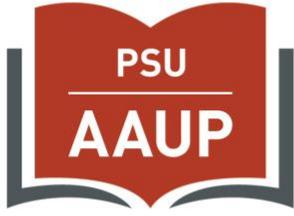
SAFETY & TECHNOLOGY

Record Type	Description	Retention Period	Retention Method E = Electronic H = Hard Copy
Updates on Tech Reports	---	Permanent	E
Briefing Documents	---	1 year	E
Vendor Presentations	---	1 year	E

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PUBLIC AFFAIRS

Record Type	Description	Retention Period	Retention Method E = Electronic H = Hard Copy
Staffing Files	Info. on important past issue	Permanent	E or H
Videos/Audio	---	Permanent	E (online + 1 backup)
Convention Notes	---	Permanent	E
Newsletters	---	Permanent	E (online + 1 backup)
Press Releases	---	Permanent	E
Annual Reports	---	Permanent	E (H from past)
IT Equipment Inventory	---	Permanent (evolving)	E
IT Operations Records	---	1 year	E
“How to” Documents	---	As needed	E
Media	Videos, pictures, & produced video	Permanent	E
Convention Videos & Information	---	Permanent	E

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