

FUTURE VISION PLAN

Document Retention Worksheet



As part of the Future Vision pilot, districts must maintain the documents listed in section 6 of the memorandum of understanding (MOU) in order to comply with local laws, ensure transparency, and prepare for reporting. This worksheet offers suggestions and tips for setting up and customizing a document retention system that works for your district.

DOCUMENT RETENTION

Districts will want to have a combination of electronic and physical files. Original, physical documents must be retained. Documents received in an electronic format, such as the District Qualification Record, may be retained electronically. All documents must be retained for five years, or longer depending on local laws. If you're unsure whether you should keep a document, it's always better to keep it.

The document retention system you create must also be accessible and available to other Rotarians as listed in the MOU. This allows for continuity and retention of information. Having files organized and available to more than one person also helps the district quickly respond to requests for qualification or grant information. Although The Rotary Foundation requires districts to maintain these documents, you don't need to submit them to the Foundation unless specifically requested by staff.

Best Practices

- **Have three main sections of files: qualification, global grants, and district grants.**
- **Keep additional copies in a scanned or electronic file format.**
- **For easier information sharing, make electronic copies that can be e-mailed or made easily accessible through a shared network.**
- **Make sure to back up electronic files regularly on a CD, flash drive, a secured website, or other electronic storage medium.**
- **Keep extra copies in a location other than where the originals are stored.**

Districts have several options for setting up a document retention system. For example, a simple physical file could include three binders: one for qualification documents, one for global grant documents, and one for district grant documents. If your district has several

grants, you may want to store files in a filing cabinet. A similar retention system could be set up on a computer with electronic files. Have three separate file folders for qualification, global grants, and district grants. Within each file folder, a district could set up subfolders for each grant number, club qualification, or year of qualification. Remember, the document retention system doesn't need to be complicated; implement what works best for your district.

IMPLEMENT YOUR DOCUMENT RETENTION SYSTEM

Think about other ways you already retain documents. For example, how do you keep records of your tax filings? How does your office organize its accounting system? The following suggestions may be new to some districts, while others already have a system in place.

- Decide which system – physical, electronic, or a combination of the two – works best for your district.
 - Does your district have a storage space for physical files?
 - Does the district have a computer where information can be stored electronically?
- Prepare your document retention system.
 - If your district is using a physical file system, find or purchase file folders or binders to store documents. These can be kept in plastic filing containers so the files are easily portable.
 - If your district is using an electronic file system, purchase a flash drive or a portable electronic hard drive to store files. Alternatively, if the district uses a shared computer, this is also an ideal place to store files.
TIP Flash drives are an inexpensive way to share files with multiple people. A flash drive of 1 GB typically should be able to store records for one grant.
- Organize and label file folders.
 - For a physical system, label all file folders, and place them into your filing system.
 - For an electronic system, have someone in the district set up electronic file folders using the sample lists in the next section of this worksheet.
 - Make a master list of the file folders your district is using so that you have a record of where they're located.
- File by placing documents related to qualification or grants into the proper folder.

SAMPLE FILE LIST

The checklists on the following pages can help your district develop its document retention system. Each lists labels for folders and subfolders. Your document retention needs will vary depending upon the types of grants your district manages, so add or remove folders as necessary. You may also want to adapt the checklists and share them with your member clubs to assist them in implementing their document retention requirements.

DOCUMENT RETENTION CHECKLISTS

○ District MOU and Qualification

- District Qualification Records
- Financial Management Plan and Related Procedures
- Bank Information
 - Account details
 - Bank statements
 - List of signatories
 - Bank procedure for changing signatories
- Legal Documents
- General Ledger
- Document Retention Procedures
- Succession Plans
- Correspondence on Qualification, including e-mail
- Annual Financial Assessment Results
- Reports of Misuse of Grant Funds
- Other Documentation

○ Club MOU and Qualification

- Supplementary Club Qualification Requirements
- Signed Club MOUs
- Grant Management Seminar
 - Materials
 - Attendance sheets
- Correspondence on Club Qualification, including emails
- List of Qualified Clubs
- Other Documentation

○ **District Grants**

(organized by grant number or year)

- Applications and any attachments
- Approval Notices
- Grant Agreements
- Grant Correspondence, including e-mail
- Information Collected from Clubs
 - Fund requests
 - Quotes for materials
 - Receipts and invoices
 - Reports
 - Other information required by the district
- Beneficiary Documentation
 - Needs assessment
 - Agreements
- Vendor Documentation
 - Quotes for materials
 - Receipts and invoices
 - Agreements
- Scholar Documentation
 - Receipts and invoices
 - Agreements
- Vocational Training Documentation
 - Receipts and invoices
 - Agreements
- Financial Documentation
 - Bank statements
 - Receipts and invoices
 - Inventory list
- Grant Reports
 - Support documentation
 - Photos
 - Project summary
- Closure Letters
- Other Documentation

○ **Global Grants**

(organized by grant number)

- Proposals
- Applications and any attachments
- Approval Notices
- Grant Agreements
- Grant Correspondence, including e-mail
- Project Partner Correspondence, including e-mail
- Beneficiary Documentation
 - Needs assessment
 - Agreements
- Vendor Documentation
 - Quotes for materials
 - Receipts and invoices
 - Agreements
- Scholar Documentation
 - Receipts and invoices
 - Agreements
- Vocational Training Documentation
 - Receipts and invoices
 - Agreements
- Financial Documentation
 - Bank statements
 - Receipts and invoices
 - Inventory list
- Grant Reports
 - Support documentation
 - Photos
 - Project summary
- Closure Letters
- Other Documentation

TIPS ON ELECTRONIC FILE STORAGE

The following tips are offered to help districts implement an electronic storage system. Please use them as needed.

SCANNING DOCUMENTS

Backing up your physical files with electronic copies saves space and simplifies sharing of documents. To create electronic files from physical files, you'll need to scan the original file and save it to a computer. Scanning is similar to photocopying, but rather than receiving a paper printout of the document, you create an electronic file of the document. All scanners function slightly differently; if you have questions about the process, check the user's manual for your equipment.

COPYING FILES FROM A FLASH DRIVE TO A PC

1. On your PC, open the My Computer window to view your drives.
2. Insert the flash drive into the USB port, and watch to see where it appears in the My Computer folder. Most flash drives appear as removable storage.
3. Double-click on the flash drive to locate the file(s) or folder(s) you want to copy to the computer.
4. Select the file(s) or folder(s) you want to copy by left-clicking on them. To select more than one, hold down the CTRL key while you click and select all of the files or folders you wish to copy.
5. Right-click on the files or folders you have selected, and choose **Copy**.
6. Open the location where you want to transfer the files.
7. Click the **Edit** menu or right-click in the window and select **Paste**.
8. To remove the flash drive, left-click on the Remove Hardware icon, normally located in the toolbar at the bottom of your screen. A window containing a list of the USB devices will appear. Left-click on the Safely Remove Mass Storage Device that matches your flash drive, for example: **Safely Remove Mass Storage Device - Drive(G:)**.
9. When the message "Safe to Remove Hardware" appears in the bottom toolbar, remove the flash drive from the USB port.

BACKING UP FILES FROM A PC TO A FLASH DRIVE

1. On your PC, open the My Computer window to view your drives.
2. Insert the flash drive into the USB port, and watch to see where it appears in the My Computer folder.
3. Double-click on the flash drive to locate where you want to save the copied files.
4. Open the location of the files you want to back up.
5. Resize the window where the files are located and the My Computer window so that they do not overlap each other on the desktop.
6. Move the mouse cursor over the file you want to back up and hold down the left-side button on your mouse to select the file or folder icon.
7. Drag the icon over to the flash drive icon.
8. When a small plus sign (+) appears over the flash drive icon, release the mouse button to copy the file to the flash drive.
9. To verify that the file has been copied, double-click the flash drive icon to open it. The

file should be listed.

10. Repeat steps 6-9 until you have copied all the files you want to back up.

CREATING PDF FILES BY USING THE ADOBE PDF PRINTER

Portable document format, or PDF, is a file format for sharing documents. PDF files retain the format of the original document and can be protected against copying or editing. PDF programs are widely available to the public. PDF files can be created from Word and Excel documents if you have Adobe PDF printer or other similar software installed on your computer. To create a PDF file using Adobe PDF printer:

1. In the document, click on **File** and then select **Print**.
2. Choose Adobe PDF, or a related name depending on how it is set-up on your computer, from the Printer Name menu.
3. Click OK. Specify a filename and location for the PDF file, and then click Save.

HELPFUL LINKS

- To download a PDF printer, search the Internet for one of the numerous websites that offer a free version, or purchase [Adobe Acrobat Standard](#), which includes the Adobe PDF printer.
- To read PDFs, [download Adobe Reader®](#)
- To get help with Microsoft Office products, such as Word and Excel, go to <http://office.microsoft.com>

If you have questions about document retention, the district MOU, or the qualification process, please contact Future Vision staff at fvqualification@rotary.org.