ANDY WILSON
OHIO ATTORNEY GENERAL

Charitable Law Records Retention Schedules

The table below list records retention schedules for the Ohio Attorney General's Office that have been approved by the Department of Administrative Services (DAS), State Archives, and Auditor of State. To view the official agency retention schedules, please go to the Ohio Government Records Database. **Disclaimer:** If you have any issues reading this document, please feel free to Contact Us and we will try to provide an accessible version.

Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Professional Solicitors/Fundraising Counsel Registration Forms	058-OAG-10 10551308	Registration and bond forms developed by the Attorney General's Office as mandated by ORC 1716 and filed by professional solicitors/fundraising counsels to establish themselves as organizations doing business for charitable purposes. Contains information on the organization, officers/employees, registration fee, surety company, and bond coverage period.			Electronic – 5 years. Paper – 90 days.	Used to establish fact patterns for investigative purposes.	Electronic – Delete Paper – Shred	4/7/2010

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Investigative Case Files	058-OAG-27 10551655	Documents compiled to make a determination as to whether an investigation is warranted and any subsequent documents gathered during an investigation or created in the course of litigating a court case. Can include, but is not limited to complaints, information on the charitable organization, narratives detailing specifics of the matter, supporting documentation (interviews, background checks, reports, etc.), and an explanation of the final determination to close the investigation or proceed to litigation. Investigations that culminate in legal cases may also include but not be limited to the compliant, legal documents, investigative materials, internal memos, correspondence, pleadings, attorney notes, research, attorney work product, license applications, examiner reports, adjudications, and transcripts.	ORC 109.28 (investigation file is exempt, except for complaint).		Electronic – Retain 7 years after case closed. Paper - Retain 7 years after case closed, unless scanned and saved electronically.	Needed to fulfill statutory duties for the Office as appointed regulators; enforce charitable organization, fund-raising, BINGO and gambling laws; keep track of organizations' activities; establish fact patterns in ongoing and future investigations.	Electronic – Delete Paper – Shred	8/3/2017

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Solicitation Campaign Notices and Financial Reports	058-OAG-28 10551661	Helps establish transparency and legitimacy for charitable solicitation campaigns by providing financial data and solicitation methods. Solicitation notices and campaign financial reports identify the professional solicitor conducting the campaign and contain name of charity and corresponding contacts, and the dates of solicitation. Solicitation notices will also include methods of use, phone numbers and location from which work will be conducted, amount of gross revenue to be retained by the charity, and the Contract, which includes agreement between charitable organization and professional solicitor (mandated by ORC 1716). Campaign financial reports contain the financial reporting status regarding campaigns, which includes the stipulated reporting periods, financial data (nationwide and Ohio gross revenue, expenses, amount retain by charity), affidavit by solicitor and confirmation from charity.			Electronic – Retain 5 years. Paper – Retain 5 years, unless scanned and saved electronically.	Needed for pattern analysis and investigative purposes.	Electronic – Delete Paper – Shred	8/7/2017

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Charitable Registration and Soliciting Charity Registration Files	058-OAG-29 10551656	These records are related to registration filings required by charities as mandated in ORC 109 and ORC 1716. These registration requirements only need to be completed once as long as there are no significant changes to the operations of the charity and include documents which may include but are not limited to articles of incorporation, IRS determination letter, by-laws, etc. Additionally, the records may include requests for abatement and registration exemptions, as well as the responses to those requests. These records are collected and maintained in an online charitable registration system.			Electronic – Retain for life of charity, trust, or solicitation campaign plus 3 years. Paper – Retain for life of charity, trust, or solicitation campaign plus 3 years, unless scanned and saved electronically.	Needed for pattern analysis and investigative purposes.	Electronic – Delete Paper – Shred	8/3/2017

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Charity Financial Reporting	058-OAG-30 10551657	Financial reports received from charities to fulfill mandate in ORC 109 and 1716. Records include, but are not limited to, financial reports received from charities as well as any attachments regarding tax information, extension requests, and registrations/renewals.			Electronic – Retain 5 years. Paper – Retain 5 years, unless scanned and saved electronically.	Needed for pattern analysis and investigative purposes.	Electronic – Delete Paper – Shred	8/3/2017
Enforcement Action Tracking Files	058-OAG-31 10551662	Records used to track settlement payments and other terms of settlement pursuant to the settlement agreement or enforcement action. Contains spreadsheet tracking organization name, date and amount of settlement, fund settlement paid into, and notations of if and when payments are made. May also include financial monitoring reports.		Only record of the funds collected.	Electronic – Retain 3 years from completing terms. Paper – Retain 3 years from completing terms, unless scanned and saved electronically.		Electronic – Delete Paper – Shred	8/7/2017

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Refund Journals	058-OAG-32 10551663	Spreadsheets containing information necessary to track refund requests, approvals, and denials. Information includes, but is not limited to, organization name, Employer Identification Number (EIN), reason for refund, staff requesting refund, staff approving refund, dates documenting original request, original payment, when request sent to Attorney General's Office finance section, and check mailed.		Only collective record of refunds.	Electronic – Retain 5 years.	Used for pattern analysis to prevent abuse and Attorney General's Office accountability as keeper of public funds.	Electronic – Delete	8/7/2017

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Deposit Verification and Reconciliation Files	058-OAG-33 10551654	Documents review of deposit accuracy and fund application between the Attorney General Office's and State Treasurer's Office's deposit records. Records include, but are not limited to, daily deposit slip (amount, fund, date) submitted to Treasurer of State, verification slip from State Treasurer showing total deposit, sub-totals by fund, and date of deposit, print out tape with amount of each individual check and daily total, and reconciliation report containing information such as revenue by fund category, account, type and date received.			Electronic – Retain 3 years, provided audited. Paper – Retain 3 years, provided audited, unless scanned and saved electronically.		Electronic – Delete Paper – Shred	8/3/2017

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Bingo Application and Compliance Files	058-OAG-34 10551652	Bingo license application and compliance files allow the office to track and monitor charity bingo organizations to ensure compliance with ORC 2915. Records include, but are not limited to, name and address of applicants, statements from charitable organization on longevity, days and time BINGO will be conducted, copy of rental agreements, previous history, copy of IRS determination letter, charitable use of net profits and other documents relevant to the application process. A copy of any site inspection reports, temporary permits, communication related to application deficiencies shall also be kept.			Electronic – Retain 5 years from close date. Paper – Retain 5 years from close date. If scanned and saved electronically, destroy.	Needed for pattern analysis and investigative purposes.	Electronic – Delete Paper – Shred	5/19/2021

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Charitable Enforcement Action Files	058-OAG-35 10551666	Documents enforcement actions regarding violations within the charitable sector. Records include, but are not limited to, copies of enforcement action records including settlement agreements, assurances of discontinuances, and judgments.	Could potentially contain bank account numbers and Social Security numbers (ORC 149.43).	Only copy of settlements, AODs, adjudication orders and/or judgments the AGO has.	Electronic – Retain permanently, unless microfilmed. Paper – If in paper, retain permanently, unless microfilmed. Microform – If microfilmed, retain permanently.	Retain permanently due to acting as a record of office's response to offender and the completion of the remediation.	Electronic – Delete Paper – Shred Microform – Permanent	11/27/2017

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Scholarship Granting Organizations Tax Credit Applications	058-OAG-36 10551790	Per ORC 5747.73, the Ohio Attorney General's Office shall receive applications from scholarship granting organizations to be certified so that contributions to the entity qualify for the tax credit. Records include, but are not limited to, a copy of an organization's completed application, agreements, amendments, supporting documentation, reports, and correspondence.			Electronic – Retain 3 years from receiving application. Paper – Retain 3 years from receiving application, unless scanned and saved electronically.		Electronic – Delete Paper – Shred	10/5/2021