

# ASSISTANCE LEAGUE® OF ORANGE

## RECORD RETENTION AND DESTRUCTION POLICY

### **PURPOSE**

The Sarbanes-Oxley Act of 2002 (Federal) makes it a crime to alter, cover up, falsify or destroy any document with the intent of impeding or obstructing any official proceeding. This record retention and destruction policy provides for the systematic review, retention and destruction of documents received or created by Assistance League of ORANGE in connection with the transaction of corporate business. This policy covers all records and documents, regardless of physical form; contains guidelines for how long certain documents should be kept; and how records should be destroyed (unless under a legal hold). The policy is designed to ensure compliance with federal and State of California laws and regulations, to eliminate accidental or innocent destruction of records, AND TO PROTECT Assistance League OF ORANGE AND ITS operations by regularly destroying THOSE DOCUMENTS THAT HAVE OUTLIVED THEIR VALUE TO THE ORGANIZATION.

### **DOCUMENT RETENTION**

Assistance League® of Orange follows the document retention schedule attached. Documents that are not listed in this schedule, but are substantially similar to those listed in this schedule, will be retained for those time periods. Document types that need to be added to the retention schedule shall be noted by the Chapter Secretary and referred to the Archives/Records Committee. This committee shall review the retention schedule ANNUALLY and propose an updated Retention Schedule as needed.

### **ELECTRONIC DOCUMENTS AND RECORDS**

Electronic documents shall be retained as if they were paper documents. Electronic documents include email and voicemail. Network and individual computer backup systems need systematic attention and should be part of regular risk management. Therefore, any electronic files, including records of donations made online, that fall into one of the document types on the attached schedule will be maintained for the appropriate amount of time. If a user has sufficient reason to keep an email message, that message should be kept in the appropriate file or moved to an "archive" computer file folder. Backup and recovery methods will be tested on a regular basis.

## **EMERGENCY PLANNING/RECORDS STORAGE**

Assistance League of Orange's records will be stored in a safe, secure and accessible manner. Documents and financial files that are essential to operations in an emergency will be duplicated or backed up quarterly and maintained in a secure off-site location.

**Hard Copy Storage:** Hard copy documents should be stored in sturdy, lidded boxes (bankers boxes with hand-hold cutouts preferred). Each box should be numbered and include a brief description of contents (i.e. Bank Statements 1985-95). Each box should be marked with the "destroy after" date which will eliminate having to review each box during records destruction. PERMANENT records should never be stored with records that will eventually be destroyed.

**Electronic Storage:** When using electronic storage, be aware of possible changes in technology (software AND hardware). Storage methods should be reviewed annually and converted as necessary. Computer system backup is essential, with determination being made regarding frequency and method of document file separation (i.e., financial data accessibility). When storing off-site, consideration should be given to ability in retrieving a single file, if necessary.

## **DOCUMENT DESTRUCTION**

Assistance League® of Orange's Recording Secretary is the Corporation's Custodian of Records. As such, it is the responsibility of that office, in conjunction with the Treasurer who is responsible financial records, to annually identify records which have met the required retention period. The Recording Secretary shall also oversee their destruction. Document Retention Review shall be conducted annually by the Recording Secretary with the assistance of the Archives Committee. Should special circumstances require review prior to the annual review, the Recording Secretary shall call for a special review.

Destruction of financial and personnel-related documents will be accomplished by shredding. All other records may be destroyed by normal disposal methods. Document destruction will be suspended immediately upon any indication of an official investigation, or when a lawsuit is filed or appears imminent. Destruction will be reinstated upon conclusion of the investigation.

### **ATTACHMENTS:**

ATTACHMENT A - ASSISTANCE LEAGUE® OF ORANGE Records Retention Schedule

ATTACHMENT B - Glossary