



The Haven General & Administrative Policy and Procedure	
Policy #	IM-003
Policy Title	Records Retention and Destruction
Issue Date	7/9/2018
Revision Date/s	10/1/2020, 4.19.22, 12.12.22, 4.10.23

## THE HAVEN

### DOCUMENT RETENTION AND DESTRUCTION POLICY

#### I. Purpose

The Document Retention and Destruction Policy (the "Policy") ensures that The Haven's necessary paper, electronic, and other records and documents (collectively, the "Records") are adequately protected and maintained whereas Records no longer needed or of no value are destroyed at proper intervals. This information is intended as a guideline for retention and destruction of records and does not include a comprehensive list of all types of records that The Haven might have. In addition, some individual records within a given category will have more significance than others, depending on the circumstances, and may warrant retention beyond the time period indicated herein. Questions regarding this Policy, including with respect to the retention of documents not listed in the Schedule (defined below), should be directed to The Haven's legal counsel.

#### II. Policy

##### A. Administration

Attached as Appendix A, is the *Records: Retention and Destruction Schedule* (the "Schedule"), and is approved as the initial retention and destruction schedule for The Haven's Records.

The Haven's Compliance Coordinator, or the individual with the job duties and responsibilities of such a position (herein after "Compliance Coordinator"), is the officer in charge of the administration of this Policy and for the implementation of processes and procedures to ensure that the Policy is followed. The Compliance Coordinator is also authorized to make modifications to the Schedule from time to time to ensure it is in compliance with local, state and federal laws, and best practices. This includes ensuring all of The Haven's Records' categories are identified on the Schedule; monitoring local, state and federal laws affecting records retention and destruction programs or policies; annually review the Policy and activities related thereto and make necessary records retention and destruction program; and monitor compliance with this Policy.

##### B. Suspension of Records Destruction In Event of Litigation or Claims

In the event The Haven is served with any subpoena or request for records, or any director, officer or employee becomes aware of a governmental investigation, review or audit concerning The Haven, or if there is commencement of any litigation or proceeding against or concerning The Haven, such director, officer or employee shall immediately inform the President/CEO or the Chair who will inform the Compliance Coordinator and any further destruction of records shall be suspended immediately until such time as the Compliance Coordinator, with the advice of The Haven's legal counsel, determines otherwise. The Compliance Coordinator shall take steps as is necessary to promptly inform all staff of any suspension in the further destruction of records.

##### C. Applicability



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This Policy applies to all Records generated in the course of The Haven’s operations, including both original records and reproductions thereof.

\* \* \*

This Records Retention and Destruction Policy was duly adopted by the Board of Directors of The Haven, on August \_\_, 2023.

**THE HAVEN**

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Barbara Stattler, President



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## Appendix A

### Records Retention and Destruction Schedule

The Records: Retention and Destruction Schedule is organized as follows:

#### SECTION TOPIC

- A. Accounting and Finance Records
- B. Contracts
- C. Corporate Records
- D. Electronic Records
- E. Payroll Records
- F. Personnel Records
- G. Property Records
- H. Tax Records
- I. Contribution Records
- J. Client Records

The following retention periods apply to both paper and electronic records. If no paper copy of an electronic record is retained, the means to “read” the electronic record must also be retained.

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

#### **A. ACCOUNTING AND FINANCE RECORDS**

<u>Record Type</u>	<u>Retention Period</u>
Accounts Payable & Accounts Receivable ledgers and schedules	10 years
Annual Audit Reports and Financial Statements	Permanent
Annual Audit Records, including work papers and other documents that relate to the audit	10 years after completion of audit
Bank Statements, Canceled Checks, Cash Receipts	10 years
General Ledgers	Permanent



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<u>Record Type</u>	<u>Retention Period</u>
Credit card numbers	Full credit card numbers should not be retained any longer than immediate business needs and merchant account agreements dictate.
Employee Expense Reports	10 years
Notes Receivable ledgers and schedules	10 years
Investment Records	10 years after sale of investment

**B. CONTRACTS**

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

**C. CORPORATE RECORDS**

<u>Record Type</u>	<u>Retention Period</u>
Corporate Records (minute books, signed minutes of the Board and all committees, corporate seals, articles of incorporation, bylaws, annual corporate reports, director and officer disclosures and commitments, policies)	Permanent
Licenses and Permits	Permanent

**D. ELECTRONIC RECORDS**

1. Electronic Mail: Not all email needs to be retained, depending on the subject matter.

- Staff will strive to keep all but an insignificant minority of their e-mail related to business issues. Staff will delete unnecessary e-mail.
- All **deleted** e-mail—from internal or external sources—is to be permanently deleted after six (6) months.
- Staff will not store or transfer The Haven’s corporate e-mail on non-work-related computers except as necessary or appropriate for The Haven’s purposes.



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- Staff will take care not to send The Haven’s confidential/proprietary information to outside sources.
2. Other Electronic Records, including text files, sound and movie files, PDF files, and all Microsoft Office and other formatted files: Retention depends on the subject matter.
  3. Web Page Files: All workstations should have its Internet Explorer scheduled to delete Internet cookies once per month.

**E. PAYROLL RECORDS**

<u>Record Type</u>	<u>Retention Period</u>
Employee Deduction Authorizations	7 years after termination
Payroll Deductions	Termination + 7 years
W-2 and W-4 Forms	Termination + 7 years
Garnishments, Assignments, Attachments	Termination + 7 years
Payroll Registers (gross and net)	10 years
Time Cards/Sheets	7 years
Unclaimed Wage Records	7 years

**F. PERSONNEL RECORDS**

<u>Record Type</u>	<u>Retention Period</u>
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 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)	7 years after separation



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<u>Record Type</u>	<u>Retention Period</u>
Employment Contracts – Individual	7 years after separation
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)	6 months
Job Descriptions	3 years after superseded
Forms I-9	3 years after hiring, or 1 year after separation if later

**G. PROPERTY RECORDS**

<u>Record Type</u>	<u>Retention Period</u>
Correspondence, Property Deeds, Assessments, Licenses, Rights of Way, and recorded copies of any of these documents	Permanent
Property Insurance Policies	Permanent

**H. TAX RECORDS**

<u>Record Type</u>	<u>Retention Period</u>
Tax-Exemption Records 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



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<u>Record Type</u>	<u>Retention Period</u>
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

**I. CONTRIBUTION RECORDS**

<u>Record Type</u>	<u>Retention Period</u>
Records of Contributions, including amounts, donor, acknowledgement provided, and related information	7 years
Documents evidencing terms, conditions and/or restrictions on gifts	7 years after funds are expended and any terms or restrictions expire

**J. CLIENT RECORDS**

<u>Record Type</u>	<u>Retention Period</u>
Client Treatment Records	10 years after leaving the program
Client Medical Records	10 years after leaving the program