



TITLE: RECORDS RETENTION

POLICY 3.95

Rev. September 2017

PURPOSE AND SCOPE:

This policy provides direction for administrative staff in the appropriate storage of business records.

A. INTENT OF THIS POLICY

This policy is intended to ensure the retention of all records for which there is a regulatory, legal or management retention requirement. Archived material must be stored in a secure facility with protection from fire and natural disaster.

B. NONPROFIT STATUS

Kokua will maintain copies of the following documents in the agency's main business office. Copies of these documents will be supplied free of charge to members of the general public who request them.

- IRS 501, (c), (3) letter attesting to nonprofit status
- IRS Form 990 for the three most recent years

C. BUSINESS RECORDS

Kokua will retain the original copies of the following records in the agency's main business office.

- Kokua's Articles of Incorporation and Bylaws
- Kokua's business license
- Nonprofit Annual Report to Washington State Secretary of State
- Contracts and Leases (current)
- Insurance policies (current)
- DDA Cost Report (three most recent years)
- Financial Reports from CPA (three most recent years)

Business records older than three years will be sent to archive.

D. EMPLOYMENT RECORDS

Kokua will secure employment records in locked offices. These records will be kept on-site for at least one year after the end of employment. Records older than 1 year will be sent to archives. Employee records include:

- Personnel files
- Training files
- Medical files
- Labor and Industries records
- Employment Security records

E. CLIENT RECORDS

The schedule for client records retention is determined by the date of semi-annual DDA certification evaluation date. All records for the next period of review must be retained on site. Client records will only be archived after all corrective actions for the most recent certification evaluation have been completed. Retention of client records will also meet the current requirements of contract, RCW and WAC.

F. ELECTRONIC RECORDS

Electronic records generated by employees in performance of their job duties are the property of Kokua. Electronic records, with the exception of routine e-mail correspondence, will not be destroyed without the authorization of the Executive Director. E-mail correspondence relating to serious incidents or matters which have potential legal significance will be printed and stored with the appropriate business or client records.

G. DOCUMENT DESTRUCTION

A vote of the full Board is needed to authorize the destruction of old records. No outdated employee or client records will be destroyed without the authorization of the Board. A copy of the Board authorization will be stapled to a copy of the instructions to the vendor asking for document destruction. All records awaiting destruction will be stored in a secure environment and destroyed by shredding.

H. SUSPENSION OF RECORDS RETENTION SCHEDULE IN THE EVENT OF A CLAIM, LAWSUIT GOVERNMENT INVESTIGATION, SUBPOENA OR OTHER ONGOING MATTERS

Upon service of legal process (subpoena, summons or the like) or upon learning of an investigation or an audit, or if a claim is made, whether formal or informal, or a dispute arises, the record retention schedule shall be suspended. All records relating to the legal process, claim, dispute, investigation or audit will be retained and no records will be destroyed pending resolution of the matter.