Interstate Commission for Juveniles	**Policy Number 01-2012**	**Page Number:** 1
ICJ Administrative Policy National Office Records Retention		**Dated:** January 26, 2012

I. Objective

To ensure that records and documents produced by the Interstate Commission for Juveniles (ICJ) are adequately protected.

II. Applicability

This policy applies to all physical and electronic records produced by ICJ. Records and documents produced by the Council of State Governments (CSG) on behalf of its Affiliates are maintained in accordance with policies and procedures established by CSG. See Schedule B. This policy is not applicable to records or documents produced by member states which are maintained in accordance with policies and procedures established by their respective states.

II. Administration

The Executive Director in conjunction with the Council of State Governments is responsible for the implementation and administration of the record retention schedule shown in Schedule A.

III. Suspension of Record Disposal In the Event of Litigation or Claims

In the event ICJ becomes party to a court action, a government investigation, or audit, the disposal of any and all records and documents shall be suspended until such time as the Executive Director, with the advice of counsel, determines otherwise.

IV. Record Keeping

Whenever an employee disposes of records in accordance with the schedule outlined in Schedule A, the employee shall prepare a written log identifying the records and documents destroyed, the date destroyed and by whom. The logs are to be maintained by the Executive Director.

SCHEDULE A RECORD RETENTION SCHEDULE (ICJ)

A. ACCOUNTING AND FINANCE

Record Type	Minimum Retention Period
Budget Worksheets, Plans and Projections	5 years
Invoices	5 years
Credit Card Statements	5 years
Original grant proposal	5 years after completion of grant period
Grant agreement and subsequent modifications	5 years after completion of grant period
All requested IRS/grantee correspondence	5 years after completion of grant period
Final grantee reports, both financial and narrative	5 years after completion of grant period
All evidence of returned grant funds	5 years after completion of grant period
All pertinent formal correspondence	5 years after completion of grant period
Report assessment forms	5 years after completion of grant period
Pre-grant inquiry forms and other documentation for expenditure responsibility grants	5 years after completion of grant period
Grantee work product produced with the grant funds	5 years after completion of grant period

B. CONTRACTS

Record Type	Minimum Retention Period
Contracts and Related Correspondence (including any proposal that resulted in the contract and all other supportive documentation)	36 months after expiration or termination
Memorandums of Understanding (MOUs)	36 months after expiration or termination
Hotel vendor contracts	36 months after contracted dates

C. COMMISSION RECORDS

Record Type	Minimum Retention Period
Minutes of all Commission Meetings	Permanent
Corporate Seals	Permanent

Articles of Incorporation	Permanent
Commission Rules and Bylaws	Permanent
Annual and Semi Annual Reports	Permanent
Audio Recordings of Public Hearings and Annual Business Meeting General Sessions	Permanent
Audio Recordings of Executive Committee Meetings	3 years
Audio Recordings of Other Committee and Workgroup Meetings	1 year or upon approval of Meeting Minutes

D. CORRESPONDENCE AND INTERNAL MEMORANDA

1. Correspondence and internal memoranda pertaining to routine matters and having no significant, lasting consequences should be discarded within two years. Some examples include:

   - Routine letters and notes that require no acknowledgment or follow-up, such as notes of appreciation, congratulations, letters of transmittal, and plans for meetings.
   - Form letters that require no follow-up.
   - Letters of general inquiry and replies that complete a cycle of correspondence.
   - Letters or complaints requesting specific action that have no further value after changes are made or action taken (such as name or address change).
   - Other letters of inconsequential subject matter or that definitely close correspondence to which no further reference will be necessary.
   - Chronological correspondence files.

2. Correspondence and memoranda pertaining to non-routine matters or having significant lasting consequences should generally be retained permanently. Some examples include:
   - Sensitive or confidential correspondence affecting business processes, responsibilities, or standards.

E. ELECTRONIC DOCUMENTS

1. **Electronic Mail**: shall, unless noted otherwise below, be retained for six months, after which time it can be deleted. Email attachments are to be handled according to topic as set forth in this policy.

- Administrative Correspondence: Includes, but is not limited to, clarification of established policy, including holidays, time card information, dress code, etc. and any general administrative information. Administrative correspondence can be deleted after six months.
- Fiscal Correspondence: Includes all information related to revenue and expenses. Fiscal correspondence is retained according to the accounting guidelines set forth in this policy.
- General Correspondence: Includes information as it relates to member interaction and operational decisions. General correspondence is retained according to the guidelines set forth in this policy.
- Momentary Correspondence: Includes personal email, requests for recommendations and review, carbon copy emails, project development, and status updates. Momentary correspondence can be deleted after six months.

2. **Electronic Documents**: Retention depends on the subject matter.
   - **PDF documents** –PDF files are retained based upon the content of the file and the guidelines set forth in this policy.
   - **Faxed Documents** – Fax documents are retained based upon the content of the file and the guidelines set forth in this policy.

The ICJ National Office maintains regular backups of all electronic files (including email) either internally or through a third-party vendor. All vendors are required to maintain a disaster recovery plan in the event of a catastrophe. These backups are a safeguard to retrieve lost information should documents on the network experience problems.

In the event an electronic document, as defined above, is maintained in both paper and electronic form, the official document will be the electronic document.

F. LEGAL FILES AND PAPERS

Record Type	Minimum Retention Period
Legal Advisory Opinions	Permanent
Dispute Resolutions	Permanent
Mediations	Permanent
Bench Book for Judges	Permanent: Current version/revision history
Rules	Permanent
Litigation Files	Permanent
Court Orders	Permanent

G. MISCELLANEOUS

Record Type	Minimum Retention Period
Commission Policies and Procedures	Permanent
Annual Reports	Permanent
Inventory Records	5 Years
Training Curriculum and Presentations	5 years
Training Bulletins	5 years
Newsletters	3 years
Data Collection	5 years
Surveys	5 years

H. PERSONNEL RECORDS

Record Type	Minimum Retention Period
Commissions/Bonuses/Incentives/Awards	5 years
Personnel Annual Reviews	5 years
Personnel Contact Information	1 year after separation
Disciplinary Documents	1 year after separation
Personnel Training Plans	3 years or 1 year after separation

I. PROPERTY RECORDS

Record Type	Minimum Retention Period
Lease Agreement/Property Deed	5 years
Property Insurance	10 years

SCHEDULE B - RECORD RETENTION SCHEDULE (CSG)

Records retained by the Council of State Governments:

J. PERSONNEL RECORDS

Record Type	**Minimum Retention Period**
Personnel files (employee demographic information and compensation records)	Permanent
I-9's	1 year after termination or 3yrs after hire
Personnel files (payroll records and summaries including records related to employee's leave)	Permanent
Employee Earnings Records	Permanent
Personnel Records (including individual attendance records, application forms, job or status change records, performance evaluations, termination papers, training and qualification records)	Permanent
Personnel files (terminated employees)	Permanent
Retirement and pension records	Permanent
Tax Returns and worksheets	10 years
Timesheets	Permanent
Workers Compensation	Permanent
Personnel Policies	Permanent
Job Descriptions	Permanent

K. INSURANCE RECORDS

Record Type	**Minimum Retention Period**
Annual Loss Summaries	10 years
Claims Files (including correspondence, medical records, injury documentation, etc.)	10 years
Group Insurance Plans - Active Employees	10 years
Group Insurance Plans – Retirees	10 years
Insurance Policies (including expired policies)	10 years

L. PAYROLL DOCUMENTS

Record Type	**Minimum Retention Period**
Employee Deduction Authorizations	Permanent
Payroll Deductions	Permanent
W-2 and W-4 Forms	Permanent
Garnishments, Assignments, Attachments	Permanent

Labor Distribution Cost Records	8 years
Payroll Registers (gross and net)	8 years

M. ACCOUNTING AND FINANCE

Record Type	**Minimum Retention Period**
Accounts Payable ledgers and schedules	5 years
Accounts Receivable ledgers and schedules	5 years
Audit Reports and Financial Statements	5 years
Audit Records (Including work papers and other documents that relate to the audit)	5 years
Bank Statements and Canceled Checks	5 years
Expense Reports	7 years
General Ledgers	5 years
Investment Records	5 years
Credit card records	5 years
Depreciation records	5 years

N. TAX RECORDS

Record Type	**Minimum Retention Period**
Tax-Exemption Documents and Related Correspondence	Permanent
IRS Rulings	Permanent
Excise Tax Records	5 years
Tax Bills, Receipts, and Statements	5 years
Tax Returns - Income, Franchise, Property	5 years
Tax Workpaper Packages – Originals	5 years
Sales/Use Tax Records	5 years
Annual Information Returns - Federal and State	5 years
IRS or other Government Audit Records	5 years