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**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. 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 is responsible for the implementation and administration of the record retention.

**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 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.

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**A. ACCOUNTING AND FINANCE**

**Record Type**

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

**Minimum Retention Period**

5 years  
5 years  
5 years  
5 years after completion of grant period  
5 years after completion of grant period  
5 years after completion of grant period  
5 years after completion of grant period  
5 years after completion of grant period  
5 years after completion of grant period  
5 years after completion of grant period  
5 years after completion of grant period

**B. CONTRACTS**

**Record Type**

Contracts and Related Correspondence  
(including any proposal that resulted in the contract and all other supportive documentation)  
  
Memorandums of Understanding (MOUs)  
  
Hotel vendor contracts

**Minimum Retention Period**

36 months after expiration or termination  
36 months after expiration or termination  
36 months after contracted dates


**C. COMMISSION RECORDS**

**Record Type**

Minutes of all Commission Meetings  
Corporate Seals  
Articles of Incorporation  
Commission Rules and Bylaws

**Minimum Retention Period**

Permanent  
Permanent  
Permanent  
Permanent

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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

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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**

<b>Record Type</b>	<b>Minimum Retention Period</b>
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

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## G. MISCELLANEOUS

### Record Type

Commission Policies and Procedures  
Annual Reports  
Inventory Records  
Training Curriculum and Presentations  
Training Bulletins  
Newsletters  
Data Collection  
Surveys

### Minimum Retention Period

Permanent  
Permanent  
5 Years  
5 years  
5 years  
3 years  
5 years  
5 years

## H. PERSONNEL RECORDS

### Record Type

Commissions/Bonuses/Incentives/Awards  
Personnel Annual Reviews  
Personnel Contact Information  
Disciplinary Documents  
Personnel Training Plans

### Minimum Retention Period

5 years  
5 years  
1 year after separation  
1 year after separation  
3 years or 1 year after separation

## I. PROPERTY RECORDS

### Record Type

Lease Agreement/Property Deed  
Property Insurance

### Minimum Retention Period

5 years  
10 years


## J. PERSONNEL RECORDS

### Record Type

Personnel files (employee demographic information and compensation records) I-9's  
Personnel files (payroll records and summaries including records related to employee's leave)  
Employee Earnings Records

### Minimum Retention Period

Permanent  
1 year after termination or 3yrs after hire  
Permanent  
Permanent

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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


<b>Record Type</b>	<b>Minimum Retention Period</b>
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

<b>Record Type</b>	<b>Minimum Retention Period</b>
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

<b>Record Type</b>	<b>Minimum Retention Period</b>
Accounts Payable ledgers and schedules	5 years
Accounts Receivable ledgers and schedules	5 years

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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

<b>Record Type</b>	<b>Minimum Retention Period</b>
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