



Records Retention Policy

Effective: January 1, 2024

I. PURPOSE:

The LEVA Records Retention Policy outlines and governs the methods and retention periods of physical or electronic records. The LEVA Records Retention Policy shall also establish a timetable (retention period) for a record's life cycle and provide authorization for a record's ultimate disposition. A record's ultimate disposition is either destruction or permanent preservation.

The retention period is established based upon a record's administrative, fiscal, legal, historical and research value.

Records maintained by LEVA are considered evidence of the organization, function, policies, decisions, procedures, operations, or other activities and must be maintained throughout the entire life cycle in accordance with the retention schedule established within this policy.

All records created or received by LEVA, except for those excluded by law or generated as the result of an ethical investigation, are available for inspection and copying (at a reasonable cost) by its members. Ethical investigation documents may be available for inspection and copying subject to Section IX of this document.

The LEVA Board of Directors, Executive Director, Executive Secretary, and committee chairpersons have the responsibility to preserve and maintain the records related to their work activities according to the applicable record retention schedule.

II. DEFINITIONS:

A. Record:

A "record" is a document, book, paper, photograph, file, sound recording or machine-readable electronic record, regardless of physical form or characteristics, made, received, filed or recorded in pursuance of law or in connection with the transaction of LEVA business whether confidential or restricted in use, or not.

B. Record Copy:

The single copy of a document, often the original, which is designated as the official copy to be preserved for the entire retention period.

C. Retention Period:

The length of time a record must be kept meeting administrative, fiscal, legal, or historical requirements.

III. GENERAL RECORDS MANAGEMENT

A. Records must be stored in a secure manner and archived as needed. The LEVA Microsoft SharePoint account is the location, where possible, those organizational records are to be maintained.

B. Records management is the responsibility of the LEVA Executive Secretary.

C. In compliance with Texas law and industry standard guidelines, the following items will be retained by the organization for the specified time.

1. Accounts payable/receivable ledgers and schedules (10 years),
2. Audit reports of accountants (Permanently),
3. Bank statements (10 years),
4. Cash books (10 years),
5. Checks (canceled, with exception below) (10 years),
 1. Checks (canceled, for important payments, i.e., taxes, purchase of property, special contracts, etc.) (Permanently),
 - a. Checks should be filed with the papers pertaining to the underlying transaction.
6. Contracts and leases (expired) (10 years),
7. Contracts and leases still in effect (Continuously until they expire),
8. Correspondence, general (4 years),
9. Correspondence (legal and important matters) (Permanently),
10. Course Evaluations (1 year),
11. Depreciation schedules (10 years),
12. Donation records of endowment funds and of significant restricted funds (Permanently),
13. Donation records, other (10 years),

Note: Donation records include a written agreement between the donor and the charity regarding any contribution, an email communication, or notes of or recordings of an oral discussion between the charity and the donor where the representative of the charity made representations to the donor with regard to the contribution on which the donor may have relied in making the gift.
14. Deposit slips (10 years),
15. Volunteer/Employee applications (3 years),
16. Expense analyses and expense distribution schedules (includes allowance and reimbursement of employees, volunteers, officers, etc., for travel and other expenses (10 years),
17. Financial statements (end-of-year) (Permanently),
18. General ledgers and end-of-year statements (Permanently),
19. Insurance policies (expired) (Permanently),
20. Insurance records, current accident reports, claims, policies, etc. (Permanently),
21. Internal reports, miscellaneous (10 years),
22. Inventories of products, materials, supplies (10 years),
23. Invoices to customers (10 years),

24. Invoices from vendors (10 years),
25. Minutes of Board of Directors meetings, including Bylaws and Articles of Incorporation (Permanently),
26. Minutes of standing committee meetings (1 year),
27. Payroll records and summaries, including payments to pensioners (10 years),
28. Purchase orders (3 years).
29. Tax returns and worksheets, revenue agents' reports, and other documents relating to determination of tax liability (Permanently),
30. Time sheets and cards (10 years),
31. Volunteer records (10 years).

D. Each document will include the date it was approved and became effective and which document it supersedes.

IV. RECORDS THAT SHALL NOT BE KEPT

- A. References to protected status (race, sex, sexual orientation, marital status, age, disability, religion, national origin, or veteran status); employee complaints about discrimination, harassment, or violations of the law.
- B. Inaccurate, false, or misleading information.
- C. Duplicate files.
- D. Medical information.
- E. Privileged documents and communications such as "Attorney-Client Communications" that are meant to keep confidential.
- F. Drafts of performance evaluations.
- G. Other information considered "inappropriate to keep" such as after-hours behavior, arrest records, personal finances, family background, club memberships, religious affiliations, union memberships, and political beliefs.

V. RESPONSIBILITIES OF THE LEVA EXECUTIVE SECRETARY

- A. Responsibilities of the Executive Secretary include:
 1. Maintaining the Board of Director nomination forms,
 2. Keeping of the minutes of any meeting, special meeting, informal meeting, or executive session meeting of the Board of directors,
 3. Keeping the minutes of any annual membership meeting,
 4. Maintain any resignation of a member of the Board of Directors,
 5. Maintain the current and previous versions of the By-Laws,
 6. Maintain all membership records,
 7. Maintain selection results of the Board of Directors,
 8. and maintain all financial records including:
 - a. All income transactions/records,
 - b. All expense transactions/records/receipts,
 - c. All tax information and forms,
 - d. Monthly, quarterly, and annual financial reports,

- e. Monthly bank statements.

VI. STANDING COMMITTEE MEETING MINUTES RECORDS

All standing committee meeting minutes will be reviewed by the Executive Director and forwarded to the Executive Secretary for retention.

VII. CERTIFICATION COMMITTEE RECORDS

A. LEVA shall maintain a record system appropriate to its particular circumstances and to comply with regulations. The records system shall demonstrate that the certification requirements have been effectively fulfilled, particularly with respect to application forms, evaluation reports and other documents relating to granting, maintaining, renewing, suspending, and withdrawing certification or any other changes to the scope of certification of an individual.

B. Certification records will be maintained in accordance with this policy. Certification records shall be identified, managed and disposed of in such a way as to ensure the integrity of the process and the confidentiality of the information. Certification records shall be kept for an appropriate period, as outlined in this policy, to demonstrate continued confidence for three years, or as required by recognition arrangements, contractual, legal or other obligations.

C. LEVA shall maintain, as appropriate, the date(s) of the examination, performance characteristics, and examination outcome.

D. The LEVA Certification Chairperson will conduct an annual audit of certification records to ensure they are complete and up to date.

E. Certification practical exercises, written examinations, and proficiency tests (including practical exercises and examinations) will be maintained electronically by LEVA for a period of no less than five (5) years.

F. Certification program documents describing the certification standards must be archived indefinitely.

G. Work products, such as practical exercises and written examinations, submitted to Certification Committee members will be retained for a period of three years.

H. Candidate progress reports, extension requests, written examination assessment or grading documents/spreadsheets will be maintained until the certification is earned or all appeals are exhausted.

I. Applications for renewal will be recorded and retained for a period of one year.

J. Certification Committee minutes submitted to the Executive Director will be archived by the LEVA Executive Secretary and retained in compliance with Texas laws relative to corporate records.

VIII. TRAINING/SYMPOSIUM RECORDS

A. Registration or application records will be retained until after the symposium/training event is complete.

B. Records of each student's successful or unsuccessful completion of individual courses will be retained indefinitely, along with the date of successful completion.

C. Course evaluations will be retained for a period of one year to allow for individual instructor and administrative review.

D. Staff names of instructors and lab assistants will be retained for a period of one year.

E. Staff and student rosters of each training event and symposium will be retained indefinitely.

IX. ETHICS COMMITTEE RECORDS

A. LEVA shall maintain records pertaining to ethical violation issues for the duration of any related ethics investigation.

B. Upon the completion of an ethics investigation, the following records disposition will apply:

1. All ethics-related materials will be maintained by the Executive Secretary and afforded the protections necessary to preclude unauthorized disclosure.

2. A copy of the initial complaint, related communications, and the findings will be maintained for a period of no more than five years unless compelling reasons exist, on a case-by-case basis, to maintain these records longer. Findings that result in any member losing their membership or certification will be maintained permanently.

3. All personnel associated with the ethics investigation, excluding the complainant(s), are required to acknowledge destruction of any materials in their possession related to the investigation (including notes, e-mails, recordings, interviews, etc.). A copy of these acknowledgements will be filed with the other related ethics records.

4. All requests for disclosure of any ethics-related records must be made to the Board of Directors. Disclosure of some ethics-related investigative material may be prohibited by law. When legally allowed to release authorized requests must be approved by a majority vote of the

disinterested Board members. who must approve access to any records by a majority vote of the disinterested Directors.

X.PREVIOUS POLICIES

This policy shall supersede all previous LEVA travel related policies.