



LUTHERAN WOMEN'S MISSIONARY LEAGUE

RECORDS MANAGEMENT POLICY & PROCEDURES

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PURPOSE

The purpose of the Records Management Policy is to ensure that full and accurate records of all activities and decisions of the Lutheran Women's Missionary League (LWML) are created, managed, and retained or disposed of appropriately. This will enable the LWML to achieve information accessibility, business enhancement, office continuity, and improvement. It will also allow the LWML to meet its obligations for accountability while ensuring that it protects the interests of the organization, the committees, the board, the staff, and the members. Effective management of information is essential to improve the efficiency and effectiveness of the LWML.

POLICY STATEMENT

The LWML's information and records are a corporate asset, vital both for ongoing operations and also in providing valuable evidence of business decisions, activities, and transactions.

All LWML records must be managed and maintained regardless of their format in an authorized records management system.

All LWML committee, board members and staff must comply with this policy, and associated Records Management Procedures, in their conduct of official business for the LWML by:

- Ensuring that full and accurate records are created and maintained for each business process followed in the LWML;
- Preserving records, whether hard copy or electronic, safely and securely;
- Ensuring that electronic records are saved and stored in the LWML's cloud-based record keeping system, with appropriate naming procedures used to enable their efficient retrieval and use;
- Ensuring records are accessible over time to support the conduct of business, and that they are only retained for as long as required according to the LWML's Records Retention Schedule; and
- Assigning responsibilities for record keeping within the LWML.

The LWML aspires to proactively implement systems and processes which will enable records and information to be stored in an electronic format wherever possible.

This policy is to be read in conjunction with the Document Retention Procedure. All practices and procedures concerning records management within the LWML must be in accordance with this policy.

SCOPE

This policy applies to the management, maintenance, and retention periods of records through their life cycle from creation, receipt or capture, to preservation and disposal. It includes records in any format held in the LWML's information systems. This policy covers board and committee members and staff who:

- Create information;
- Access information;
- Have responsibility for information including storage, retrieval, dissemination, and disposal; and
- Have management responsibilities for officers engaged in any of these activities.

Records exist in a variety of formats including, but not limited to, paper documents, electronic messages, word processed letters, Web pages, information in databases, photographs, film, charts, etc.

Regardless of format, records must be created, captured, maintained, secured, and disposed of in accordance with the requirements of this Policy (refer to "Requirements" section in this document).

GOALS

The goals of this Policy are:

- To ensure effective organizational records management, covering the creation and maintenance of authentic, reliable and useable records;
- To ensure the LWML's records support the accountability and transparency of its business functions and activities for as long as those records are required;
- To provide evidence of the LWML's commitment to best practice records management;
- To set out the responsibilities of committee and board members and staff, clarifying their accountability for records and information management (refer to "Responsibilities" section in this document);
- To ensure that records and information management is done in accordance within the LWML business requirements (refer to "Rationale section" in this document);
- To ensure that records of longer term value are identified and protected for historical and other research; and
- To protect vital information in the event of a disaster.

DEFINITIONS

Record

A “record” is any information (paper or electronic) recorded in a tangible form that is created or received by the LWML and documents some aspect of its operations. A record has some enduring value to the LWML that merits its retention for some period of time. Records include original and copies of contracts and other legal documents, memos, reports, meeting minutes, bylaws, handbooks, manuals, forms, checks, accounting journals and ledgers, drawings, maps, images, and photographs. These records may be found in various electronic or machine-readable formats, including without limitation, CD-ROMs, DVDs, tape recordings, voice mail messages, emails, microfiche, Web pages, computer, and other electronic files.

Other Information/Data

“Other information” or “data” is any other material that is of a transitory nature, that after serving its limited purpose or being transferred to a more permanent form or being incorporated with other record material, LWML has no need to retain such information except in the event of a legal hold.

REQUIREMENTS

Creation and Maintenance of Records

Business records must be created and captured by everyone subject to this policy. Business records should provide a reliable and accurate account of business decisions and actions. Therefore it is necessary to include all information to support business needs including the names, dates and time, and other key information needed to capture the business context.

Examples of the LWML’s records include (but are not limited to):

- Agendas, minutes and papers
- Contracts and agreements
- Correspondence received from members or the public that require action
- Documents related to meetings and events
- Media releases and articles
- Policies and guidelines
- Personnel recruitment and appointment documentation
- Reports and submissions
- Risk management documentation
- Training program documentation
- Publications documentation
- Business continuity plans
- Board and committee rosters
- Insurance policies
- Accounting records
- Current or potential litigation records
- Mission grant documentation

Ultimately, if the record contains a business transaction or evidence of any decision that has been made on behalf of the LWML it must be kept for the required time as per the Records Retention Schedule outlined below (pages 7-11).

Records that Do Not Have to Be Kept

Some records, classified as Other Information/Data (refer to “Definitions” section of this document) do not belong in the LWML’s record keeping system, including:

- Internal e-mails received by “carbon copy” (cc) or “blind carbon copy” (bcc);
- Junk email;
- Personal items including email;
- Rough notes, working papers, and calculations used solely to assist in the preparation of other records such as correspondence, non-auditable reports, and statistical tabulations;
- Copies of any documents, preserved solely for reference;
- Published material preserved solely for reference; and
- Electronic revisions of documents in the LWML’s record keeping system which can be purged/deleted when finalizing documents.

Documents of this nature may be destroyed either by deleting electronic files, shredding, or disposing of paper documents.

Access to Records: Sharing Corporate Information within LWML

Information is a corporate resource to which all board and committee members and staff may have access, except where the nature of the information requires restriction. Access restrictions should not be imposed unnecessarily but should protect:

- Individual staff, board or committee member privacy; and
- Sensitive material classified as “confidential.”

Retention or Destruction of Records

LWML records are destroyed when they reach the end of their required retention period as outlined in the Records Retention Schedule. Destruction may occur by the following acceptable methods:

- Recycling or trash if no sensitive, personally identifiable, or confidential information is included;
- Shredding, burning, or pulverizing of sensitive, personally identifiable, or confidential information is included;
- Deletion of records and data on shared network files, computer desktop, and laptop hard drives, including personal copies; and
- Deletion of distributed data/records on peripheral devices and portable storage media (PDAs, memory sticks, CDs, etc.).

Some records can be destroyed in the normal course of business. These are records of a short-term, facilitative, or transitory value that are destroyed as short-term value records.

Suspension of Destruction/"Legal Hold"

A legal hold is the process for suspending the destruction of records and other information that becomes necessary for the LWML to preserve. A legal hold may need to be issued for various reasons, such as:

- A complaint is filed against the LWML;
- A credible threat of litigation has been received by the LWML;
- A discovery request is received;
- A subpoena has been issued on the LWML;
- An event has occurred that resulted in death or serious bodily injury;
- A circumstance has arisen that is likely to cause the LWML to file a lawsuit against someone or some entity; or
- An employee has made a complaint/allegation/report regarding a violation of law, LWML policy, or other improper conduct prompting an internal investigation.

Monitoring the Records Management Program

The records management program will be monitored for breaches of this Policy by the Department of Organizational Resources.

RECORDS RETENTION SCHEDULE		
		Retention Period
		(Years+Current FY)
		P=Permanent
ACCOUNTS PAYABLE		
	Expense Reports	7
	Ledgers and Schedules	7
	Paid invoices/paid vouchers	7
	Trial balance	3
	Vendor history	P
ACCOUNTS RECEIVABLE		
	Invoices issued to customers	2
	Ledgers and Schedules	7
	Records	7
	Trial balance	3
	Vendor history	P
	Uncollectible accounts/write offs	7
	Credit memos	4
ADMINISTRATION		
	Agendas and schedules	2
	General materials	5
	Organization charts	P
	Retention schedule	P
AUDIT-EXTERNAL		
	Audited financial statements	P
	Management letter	P
	Governance letter	P
	Engagement letter	P
	Work papers (rough), internal schedules	3
APPRAISALS		
		P
ARTICLES OF INCORPORATION, BYLAWS		
		P
BANKING RECORDS		
	Account analysis reports	7
	Account files, signature cards, corporate resolutions (after superseded)	7
	Deposit records	7
	Reconciliations	7
	Statements (monthly, quarterly, annual)	7
	Wire transfer records	7

	Scanned checks	60 days
BUDGET-SUPPORT FOR ANNUAL OPERATING BUDGETING PROCESS		
	Budget documents, working & final (files, worksheets, spreadsheets, support)	5
	Cost reduction support	5
	Variance analysis/evaluations	5
BUSINESS/CORPORATE RECORDS		
	Annual Board of Directors meeting-voting members list	6
	Board of Directors-signed meeting minutes	P
	Business plan	10
	Election ballots	P
	Letters/memos accompanying board minutes, reports/notes to transmit documents	15
	Registrations-federal, state, local	P
	Standing and special board committee minutes, agendas and attachments	P
	Strategic plan including long range plan (years after end of plan)	10
CAPITAL ASSETS		
	Acquisition documents (RFP, bids, invoices)	P
	Blueprints, maps, plans, specifications	P
	Budget documents, working & final	5
	Damage reports, files, claim information	7
	Depreciation schedules	7
	Disposition records, sale records	P
	Inventory records (perpetual)	16
	Inventory records (physical) (after subsequent physical inventory)	3
	Lease contracts-capital leases	P
	Lease contracts-operating leases	10
	Ledgers	P
	Maintenance/repair records	7
CAPITAL STOCK AND BOND RECORDS		
		P
CASH RECEIPTS AND DISBURSEMENT RECORDS		
	Cash receipts/cash disbursement records	10
	Check register	10
	Checks and drafts-paid/cancelled/voided	7
	Credit card sales receipts/charge slips	3
	Sales receipts/sales slips	3
CHARTS OF ACCOUNTS		
		P

COMMUNICATIONS		
	Marketing plans	5
	Reports and studies	5
	Press releases	10
CONTRACTS AND AGREEMENTS		7
CORRESPONDENCE		
	Credit and collection	7
	General accounting/financial	5
	Regulatory authorities (federal, state, local)	P
DONATIONS, DONOR RECORDS		
	Donor management records	P
	Permanently restricted gifts	P
	Pledges (10 years or 5 years after fully paid)	10
	Temporarily restricted gifts (after the restriction is removed and the gift is released)	10
	Stock and bond certificates (years after cancelled, liquidated)	10
	Trust fund correspondence	P
	Trust fund investment reports	P
	Trust agreement	P
	Unrestricted gifts	10
EMPLOYEE BENEFITS/HUMAN RESOURCE		
	Actuarial reports	10
	COBRA benefits and correspondence	P
	Contracts-outside providers	10
	Correspondence-general	5
	Correspondence-related to plan documents or tax filings	P
	Contracts	7
	Death benefit claim	7
	Disability, unemployment claims	7
	Employment applications	4
	I-9 forms (after termination of employment relationship)	3
	Job descriptions (years after superseded)	1
	Life insurance program	10
	Personnel files (after employee leaves company)	7
	Pension records	P
	Recruiting records/files-no litigation (years after termination)	3
	Retirement plan records	5
	Time reports, earnings records	4
	Withholding & exemption certificates (w2, w4)	4
	Worker's compensation claims (years after settlement)	5

FACILITIES		
	Property lease/management agreement	5
FINANCIAL/GENERAL ACCOUNTING REPORTS		
	Analysis, reports and studies	4
	Biennium end audited financial reports	P
	Chart of accounts (after superseded)	7
	Estimates and projections	7
	Finance Committee-signed meeting minutes and committee files	P
	General ledger (electronic copy)	P
	General ledger (hard copy)	5
	Interim internal reports	4
	Subsidiary ledgers	P
	Trial balance- biennium	P
GRANT RECORDS		
	Award letters	P
	Documentation of grantor restrictions-temporarily or permanent	P
	Documentation of releases from restriction	7
	Requests that were not funded	3
INFORMATION TECHNOLOGY		
	Licenses	10
	Technical assistance agreements	10
	Training records	10
INSURANCE POLICIES AND RECORDS		10
INVESTMENT RECORDS		
	Bond amortization records	7
	Certificates-stock and certificates of deposit (cancelled copy) (after liquidation)	7
	Descriptive literature-stock, bonds and CD's (after liquidation)	5
	Investment account statements (annual)	7
	Investment account statements (monthly) (if a detailed annual statement is provided)	2
	Investment account statements (monthly) (if the annual statement is not detailed)	7
	Investment Committee meeting minutes and committee files	P
	Investment ledger	7
	Investment policy (years after superseded)	7
	Securities transactions/trade confirmations	3
LEGAL		
	Appraisals	5

	Contracts and leases	10
	Contractual/legal arrangements-bequests, trust, annuities	P
	Deeds, titles, mortgages	P
	Disputes	3
	Intellectual property records	P
	Litigation	3
	Personnel issues	3
	Settled confidential cases	P
PAYROLL		
	Earnings ledger-annual	7
	Earnings ledger-periodic (if detail is not on the annual ledger)	7
	Earnings ledger-periodic (if detail is on the annual ledger)	2
	Employee withholding certificates-statutory & voluntary pre-tax (years after termination)	8
	Register-annual	7
	Social security information	P
	Time sheets	7
POLICY/PROCEDURES		
	Operating policies/procedures (years after superseded)	7
	Board policies	P
PURCHASING		
	Purchase orders	2
	Purchasing records	10
SHIPPING REPORTS		4
TAX RECORDS		
	Bills and statements	P
	Correspondence	20
	Exemption status and certificates	P
	Payroll	4
	Sales and use	P
	Social security	P

PROPER NAMING CONVENTIONS

The most important thing that a filename can do for your documents collection is to provide a form of **unique identification** (or [UID]) for each digital "asset." However if you wish to be able to exchange your image files with clients or colleagues (often using different computer operating systems), then you need to observe some standards for cross-platform compatibility to ensure maximum portability. Here are some recommendations to avoid potential problems.

- When creating file and folder (directory) names limit your filenames to the characters A-Z, a-z, 0-9, underscore (_), period (.), and hyphen (-).
- Do not use spaces in file names
- May not use characters in the file name such as ! | < > ? / \ * : “
- Avoid using additional characters such as % \$ ^ ~ +
- Do not use . (dot) in folder names
- Do not use . (dot) more than once in file names; including the extension; allow programs to automatically generate the proper extension Some common file extensions include .mov (MPEG file), .xml (XML file), .zip (ZIP compressed archive file), .aif (AIFF audio file), .wav (WAVE audio file), .psd (Photoshop graphics file), .jpg (JPEG graphics file), and .png (TIFF graphics file).
- Numbers are permissible; avoid using as the first single character (exception is the date)
- Avoid use of capital letters
- Maximum of 255 characters allowed for file names but shorten names where possible – eliminating articles (the, an, a)
- Date files “[year]-[mm]-[dd]_[title]” especially for successive editions, or meeting documents

RENAMING A FILE

Renaming a single file or folder is the easiest operation. Right-click the file with the mouse and select the “Rename” command in the drop-down menu. You should see an edit box in place of the file’s name. You can edit the name of the file using this edit box. If you want to apply changes, press Enter or click with the mouse somewhere outside the box. If you want to exit editing and abandon all changes, press the Esc button.

There is one more way to rename a file or folder. First, select the desired object by clicking it and then click its name with the left mouse button. Don’t confuse it with the double-click that simply runs a file or opens a folder. There should be a small pause between the selection click and the click on the name. Finally, there is a third way. Simply select the file and press F2.

FOLDER STRUCTURE SAMPLE

- 📁 Department (Communication, Mission, etc.)
 - Office (Vice President, Treasurer, Secretary, etc.)
 - Meetings
 - BOD
 - [Meeting date] (List each Meeting date to individual folders)
 - [Meeting documents]
 - Minutes/Notes
 - Reports
 - ID
 - [Meeting date] (List each Meeting date to individual folders)
 - [Meeting documents]
 - Minutes/Notes
 - Reports
 - EC
 - [Meeting date] (List each Meeting date to individual folders)
 - [Meeting documents]
 - Minutes/Notes
 - Reports
 - Correspondence
 - Guidelines
 - Committee (Standing Committee, Task Force, Sub-Committee)
 - Meetings
 - [Meeting date] (List each Meeting date to individual folders)
 - [Meeting documents]
 - Minutes/Notes
 - Reports
 - Products/Scope of work
 - Work orders
 - Original production files (Word docs, Illustrator, full size and reduced images)
 - Final documents (PDF for print or Web)
 - Correspondence
 - Guidelines