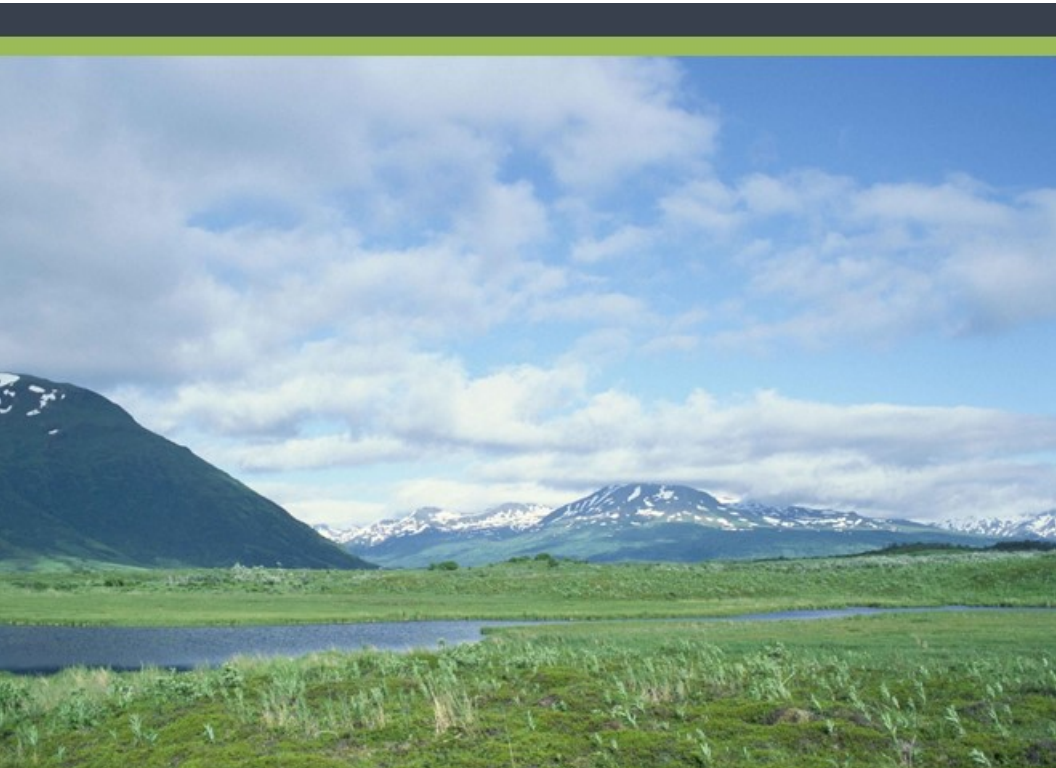


# Records Management Policy



October 2018



# FOREWORD

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This Records Management Policy is part of UNISHKA Research Service, Inc.'s (UNISHKA's) internal governance, risk management, and compliance program. It is primarily concerned with managing the evidence of UNISHKA's activities, as well as reducing or mitigating risk. This policy demonstrates to employees and stakeholders that managing records is important to UNISHKA.

All UNISHKA staff, consultants, and affiliates are bound by this policy. Any deviation from these policies and procedures must be approved in writing by UNISHKA senior management.

UNISHKA welcomes your comments or suggestions for improvements and these may be incorporated in future revisions of this policy.



**Jeffrey Coonjohn**  
CEO & Chief Operations Officer  
UNISHKA Research Service, Inc.

1 October 2018

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# 1 INTRODUCTION

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The UNISHKA Records Management Policy represents the company's policy regarding the retention and disposal of records and the retention and disposal of electronic documents.

## 1.1 Purpose

The purpose of the UNISHKA Records Management Policy is to ensure that necessary records and documents are adequately protected and maintained and to ensure that when records are no longer required by UNISHKA, they are destroyed or discarded at the proper time and in an appropriate manner. This Policy is also for the purpose of aiding employees of UNISHKA in understanding their obligations in retaining electronic documents including e-mail.

## 1.2 Objective

The specific objectives of this policy are to:

- ◆ Identify who will keep identified records;
- ◆ Specifically list the records that are to be maintained and in what format;
- ◆ Detail the filing and retrieval system and procedures;
- ◆ Clarify the records retention period;
- ◆ Clarify the document destruction policy and procedure; and
- ◆ Determine methods to verify compliance with these recordkeeping requirements.

## 1.3 Administration

Identified at Section 2 below is a Record Retention Schedule that is approved as the initial maintenance, retention and disposal schedule for physical records of UNISHKA and the retention and disposal of electronic documents. The Corporate Secretary is the officer in charge of the administration of this Policy and the implementation of processes and procedures to ensure that the Record Retention Schedule is followed. The Corporate Secretary is also authorized to: make modifications to the Record Retention Schedule from time to time to ensure that it is compliant with local, state and federal laws and includes the appropriate document and record categories for UNISHKA. The Corporate Secretary will also monitor local, state and federal laws affecting record retention and will annually review the Records Management Policy to ensure compliance.

## **1.4 Suspension of Document Destruction in the Event of Litigation or Claims**

In the event UNISHKA is served with any subpoena or request for documents or any employee becomes aware of a governmental investigation or audit concerning UNISHKA, such employee shall inform the Corporate Secretary and any further disposal or destruction of documents in relation to the matter shall be suspended until such a time as the Corporate Secretary, with the advice of counsel, determines otherwise. The Corporate Secretary shall take such steps as is necessary to promptly inform all staff of any suspension in the further disposal of documents and the matter related thereto.

## **1.5 Document Storage**

Hardcopy documents will be stored in a protected environment for the duration of the Record Retention Schedule. Similarly, electronic media will be stored on a safe and secure platform, such as Microsoft SharePoint, for the duration of the Record Retention Schedule. In either case, access to Personally Identifiable Information (PII) or other sensitive documents shall be limited to approved and vetted personnel only. When possible, the appropriate record-keeping system (e.g. Table of Contents) shall be preserved together with the documents.

## **1.6 Document Retrieval**

In the event a UNISHKA employee, consultant, or outside entity needs access to stored hard copy or electronic documents, care must be taken to ensure that PII or other sensitive information is limited to approved and vetted personnel only.

For access to unrestricted documents, the requesting individual should access the document via the appropriate SharePoint site. If a requesting individual does not have access to SharePoint, he/she should request a copy of the document through the appropriate department or program manager. To access restricted documents, the requesting individual must contact the appropriate department or program manager to request permission to access the document. The department or program manager will then provide the requestor with a copy of the material if access is granted.

## 1.7 Applicability

This Policy applies to all physical records generated in the course UNISHKA's operations, including both original documents and reproductions. It also applies to the electronic documents including: e-mail, Web files, text files, sound and movie files, PDF documents, and all Microsoft Office or other formatted files.

## 2 RECORDS RETENTION SCHEDULE

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The Records Retention Schedule is organized as follows:

- ◆ Accounting and Finance
- ◆ Business Administration Records
- ◆ Contracts
- ◆ Corporate Records
- ◆ Correspondence and Internal Memoranda
- ◆ Insurance Records
- ◆ Legal
- ◆ Miscellaneous
- ◆ Payroll Documents
- ◆ Personnel Records
- ◆ Project Records
- ◆ Property Records
- ◆ Tax Records
- ◆ Security and Vetting Records

### 2.1 Accounting and Finance

Document	Description	Retention Period
Auditors' Reports	Report or statement reflecting an audit's completion	Permanently
Accounting Reports	Routine Balancing and status reports, output from accredited Accounting systems reflecting expenditures and receipts of company and includes but is not limited to: 1. Financial Transaction Reports (FTR) 2. Documents Outstanding File (DOF) 3. Audit Trails 4. Cash Availability 5. Field Warrants	Current Fiscal Year + 3 Years



Document	Description	Retention Period
Bank Deposit Slips, Reconciliations, Statements	Includes any copies, duplicated documents or related correspondence	4 Years
Bills of Lading (Related to Projects Only)	A bill of lading is a legal document between the shipper of goods and the carrier detailing the type, quantity and destination of the goods being carried. The bill of lading also serves as a receipt of shipment when the goods are delivered at the predetermined destination.	Same as Project Documents
Budgets	A budget is a financial plan for a defined period of time. It may also include planned sales volumes and revenues, resource quantities, costs and expenses, assets, liabilities and cash flows.	2 Years
Cash Books	Record of cash receipts and expenditures, cash disbursement, and purchase journals	Permanently
Chart of Accounts	Accounts and Journals	Permanently
Checks (Canceled)	All canceled checks not noted in the exception below	7 Years
Checks (Canceled--Exception)	Canceled for important payments--i.e. taxes, purchases of property, special contracts, etc. Checks should be filed with the papers pertaining to the underlying transaction.	Permanently

Document	Description	Retention Period
Contracts (Purchases and Sales)	Formal purchase or sales contracts. An invoice, for example, is a contract of sale. Also called agreement of sale, contract for sale, sale agreement, or sale contract.	Until Expired + 7 Years
Depreciation Records & Schedules	A depreciation schedule breaks down the depreciation of the firm's long-term assets. It calculates the depreciation expense for each asset and allocates the cost of each asset over the useful life.	Until Superseded + 4 Years
Employee Expense Reports & Employee Travel Claims	A report that tracks expenses incurred during the course of performing necessary job functions. Examples include charges for gas, meals, parking or lodging. (I.E. Advanced Meal Authorization Form, Expense Report Reimbursement Form, Travel Advance Request Form, Travel Expense Reports, Travel Expense Report Form, ect.)	4 Years
Employee Payroll Records	W2, W-4, annual earnings records, etc.	Until Termination + 6 Years
Financial Statements (Annual/Year-end)	Financial statements (or financial report) is a formal record of the financial activities and position of a business	Permanently
Financial Statements (Interim)	Financial statements (or financial report) is a formal record of the financial activities and position of a business	4 Years

Document	Description	Retention Period
Garnishments	Garnishment refers to a legal process that instructs a third party to deduct payments directly from a debtor's wage	7 Years
General Ledgers	General/Private ledgers, year-end trial balances	Permanently
Internal Audit Reports	The internal examination, monitoring and analysis of activities related to a company's operations, including its business structure, employee behavior and information systems.	7 Years
Invoices (Permanent Assets/Purchases)	A list of goods sent or services provided, with a statement of the sum due for these; a bill of sale	Until Disposal + 4 Years
Invoices (to customers, from vendors)	Sales, receipts, merchandise purchases, etc.	7 Years
Notes Payable/Receivable Ledgers & Schedules	Notes payable is a liability in writing that promises to pay a specific amount of money at future date or on demand; note receivable is a written promise to receive a specific amount of money at a designated future date or on demand of the holder	7 Years

Document	Description	Retention Period
Payroll Records & Summaries	Include: Cash Value of Leave, Leave Activities, Timesheets, Leave Requests/Reports, Adjustments to Timesheets, Retroactive Pay Worksheets, Taxable Moving, Mileage, Per Diem Payment Documentation, Etc.	7 Years
Petty Cash Vouchers	A form on which cash expenditure is noted so that an employee can be reimbursed for what he or she has spent on company business (I.E. Expense Reimbursement Form, etc.)	3 Years

## 2.2 Business Administration Records

Document	Description	Retention Period
Complaints	Includes individual complaints from citizens, consultants, consumers, and employees and may include name, address, date, telephone number, narrative of complaint, to whom referred and date, action taken, and signature of actor	Until Resolved + 1 year

Document	Description	Retention Period
Correspondence (General)	Original incoming and copies of outgoing letters and memoranda related to the general administration and operation of the company, Includes the following correspondence: conference training notes, organizational charts, delegations of authority, share campaign, inventories/logs, studies, etc.	Until expiration + 6 Years
Correspondence	Consists of documents that are created primarily for the communication of information, as opposed to communications designed for the perpetuation of knowledge. Does not apply to: email, voice message, text message, self-adhesive notes, data input documents, appointment books/calendars, invitations, intera-office correspondence tracking logs, word processing files, suspense files, temporary instructions, publication bulletins, notary certificates (Copies), meeting notices, announcements, training flyers, etc.	Until expiration + 2 Years

Document	Description	Retention Period
Disaster Preparedness	Results of disaster preparedness exercises and the supporting documents including scenarios, location safety related drills, timetables, response times, probable outcomes, areas of difficulties, description of how difficulties were resolved and areas for improvement. Drills Include: Fire, Earthquake, Safety	3 Years
Drafts & Working Papers	Documents, correspondence, reports, memoranda, and other materials in preliminary or developmental form before their iteration as a final product. Includes materials circulated for review for grammar, spelling and content.	Until Obsolete
Emergency Response, Disaster Prevention and Recovery Plans	Consists of emergency response plans, disaster preparedness and or recovery documentation	Until Superseded + 3 Years
Forms	Current forms and templates	Until Obsolete
Incident and Unusual Occurrence Reports	Reports of strange occurrences or incidents which occur at a company owned/leased property and may include (I.E. Safety/Incident Reporting Form included in Safety Policy and Procedures 6.1)	4 Years
Inspection Records	Fire, Security, and Safety inspection reports, checklists, and remedial/corrective action documentation (I.E. Forms 3.1 and 3.2 Included in Safety Policy and Procedures Manual)	3 Years

Document	Description	Retention Period
Internal Reports	Staff: Monthly, quarterly, activity, routine management and travel Annual: Reports and publications that describe responsibilities, functions, activities and events. Audits: Internal auditors and contractors documenting the financials accountability and statutory/regulatory compliance of the company	Until expiration + 5 Years
Key & Badge Issuance Records	Key control system including receipts for keys and security or identification badges issued to employees	Until Terminated
Mail & Telephone Records	Consists of mail files or logs that document transmittal or posting of United States Post Office materials and returned/undeliverable first class mail. Includes telephone logs, message books, and phone number lists	1 Year
Manuals (Major Policies & Procedures)	Substantive and binding company policies, procedures, directives, decisions, orders, rules, guidance, agreements, and manuals that address, outline, or detail the mission essential functions for which the company is responsible	Until superseded + 3 Years

Document	Description	Retention Period
Manuals (Minor Policies & Procedures)	Routine agency issued policies, procedures, directives, decisions, rules, organizational charts, and manuals that address internal functions and operational procedures	Until superseded + 3 Years
Meeting Minutes (Minor; Non-Policy Making)	General for all staff, routine and operational meetings that do not result in changes to company positions or procedures: Agendas, minutes, notes, etc.	3 Years
Patents & Related Papers	A government authority or license conferring a right or title for a set period	Permanently
Postage Records	Detailed listing showing amount of postage used, date, unused balance and purpose. Record of United Parcel Service, DHL, or Federal Express package would fit in with this series	3 Years
Records & Information Management	File plans/system outlines; records retention schedules; records transfer lists, records disposition notices; transmittal/receipts; records audit forms; records management policies and procedures; correspondence with agencies, records contracts and records manager, accounting, holdings and billing information	Until Superseded + 7 Years



Document	Description	Retention Period
Trademarks Registrations and Copyrights	the exclusive legal right, given to an originator or an assignee to print, publish, perform, film, or record literary, artistic, or musical material, and to authorize others to do the same.	Permanently
Training Materials	Consists of materials used in training: films, compact disks, electronic files, slides, commentaries, manuals, workbooks and other related items	Until Superseded + 3 Years
Website Content, Management & Operations Records	Webmaster policies, procedures, notes, content pages, HTML markup, records generated when a user interacts with a site, lists of URLs referenced in sites hyperlinks; website design records; addressing usage of copyrighted materials; software applications used to operate the site; web snapshots, site maps, and correspondences	Until Obsolete + 5 Years

## 2.3 Contracts

Documents	Description	Retention Period
Contracts relating to Special Projects	Includes any proposal that resulted in the contract and all other supportive documentation	Until Expired or Terminated + 7 years

Documents	Description	Retention Period
Contracts, Mortgages and Leases	Written or spoken agreement, especially one concerning employment, sales, or tenancy, that is intended to be enforceable by law.	Until Expired + 7 Years
Independent Contractor Agreements	An independent contractor agreement is an important agreement for both someone hiring an independent contractor and the person who will be working as the contractor. The agreement should outline what the work entails and what kind of payments will be rendered for services	Until Expired + 7 Years
Memoranda of Understanding/Agreement	Expression of Mutual Accord on an issue between the company and two or more parties. MOU may be legally binding, based on the rights and obligations addressed in them. Includes letters of intent.	Until Expired + 7 Years

## 2.4 Corporate Records

Documents	Description	Retention Period
Business Licenses		Permanently

Documents	Description	Retention Period
Minute Book of Directors, Stockholders, Bylaws, and Charter	Documents all boards, commissions, advisory councils, task forces, special committees and major policy making group activities. Includes the following: agenda, information packets, reports, notes, transcripts, media releases, meeting summaries and questionnaires	Permanently
Shareholder Documents		Permanently
Stocks & Bond Certificates (Cancelled)		7 Years

## 2.5 Correspondence and Internal Memoranda

**General Principle:** Most correspondence and internal memoranda should be retained for the same period as the document they pertain to or support. For instance, a letter pertaining to a particular contract would be retained as long as the contract. It is recommended that records that support a particular project be kept with the project and take on the retention time of that particular project file. Retention of correspondence includes electronic correspondence as well as hardcopy correspondence (including all attachments).

Correspondence or memoranda that do not pertain to documents having a prescribed retention period should generally be discarded sooner. These may be divided into two general categories:

- ◆ Those 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.
- ◆ Those pertaining to non-routine matters or having significant lasting consequences should generally be retained permanently.

## 2.6 Insurance Records

Documents	Description	Retention Period
Accident Reports/Claims		Until Settled + 10 Years
Certificates of Insurance		Permanently
Group Insurance Plans (Active Employees)		Until Superseded + 3 Years
Insurance Policies		Until Superseded + 3 Years
Insurance Records & Correspondence		Permanently
Fire Inspection Reports		6 years
Group Disability Reports		8 Years
Safety Reports		8 Years

## 2.7 Legal

Documents	Description	Retention Period
Correspondence		Permanently
General Legal		7 Years
Litigation Documents		Permanently
Releases and Settlements		25 Years
Requests for Departure from Records Retention Plan		10 Years

## 2.8 Miscellaneous

Documents	Description	Retention Period
Application/Software Licenses & Agreements		Until Termination + 6 Years

Documents	Description	Retention Period
IT Access Authorizations	Records documenting the issuance or selection of passwords, personal identity management, security administration and monitoring of company network. Consists of network administration/user passwords VPN requests, user/customers acknowledgments computer change requests remote access agreements web filtering waivers temporary permanent firewall access requests and profiles. (I.E. Email Creation Request Form, Technology Request Form, etc.)	Until Termination + 4 Years
IT General Documentation	Includes: usage inventory reports, security information, disaster recovery/backup procedures, and worldwide web page data, statistics and other development materials utilized in the creation and maintenance of company website	Until Obsolete

Documents	Description	Retention Period
Post Implementation Evaluation Review & Reports	Assessments conducted following the completion of each IT Project that addresses the operational problems (whether the project met proposed objectives, was completed within the anticipated time and budgetary constraints and achieved the proposed benefits) Includes: surveys, gap analysis, checklist, third party recommendations, and auditor comments	Until Implementation + 5 Years
Program (User) Documentation & Training Materials	Includes: user guides, notes, computations, reports, computer printouts data system files specifications, codebooks, file layouts, output specifications, brochures and other end user material regarding the use of an application	Until Obsolete + 1 Year

## 2.9 Payroll Documents

Record Type	Retention Period
Employee Deduction Authorizations	4 years after termination
Payroll Deductions	Termination + 7 years
W-2 and W-4 Forms	Termination + 7 years
Garnishments, Assignments, Attachments	Termination + 7 years
Time Sheets	2 Years
IRA or 401(k) Records	2 years

## 2.10 Personnel Records

Documents	Description	Retention Period
Attendance Records	A record of employee attendance at work	7 Years
Benefits (Health, Dental, Vision, etc.)	includes insurance programs, fully compensated absences (vacations, holidays, sick leave), pensions, stock ownership plans, and employer-provided services (such as child care) offered by employers to their employees.	Until Termination + 7 Years
COBRA Records	The Consolidated Omnibus Budget Reconciliation Act (COBRA) gives workers and their families who lose their health benefits the right to choose to continue group health benefits provided by their group health plan for limited periods of time under certain circumstances such as voluntary or involuntary job loss, reduction in the hours worked, transition between jobs, death, divorce, and other life events.	4 Years
TSheets	Record of Employee's daily work hours & schedules & PTO	6 Years
EEO & Affirmative Action Complaint Files	Consists of EEO and Affirmative action complaints, departmental actions, correspondence and investigative materials	Until Expiration + 5 Years



Documents	Description	Retention Period
Employee Medical Records (ADA Accommodation Records/JTR Travel Accommodation Records)	Documents the company's reasonable accommodation and provisions for its employees with disabilities in compliance with the ADA. Includes: Employee Requests, Medical Information, Engineering and Design Plans, Complaint and Labor Relations documentation and related correspondence	Until Termination+ 3 Years
Employee Medical Records (Drug Test Results)	This record series consists of the positive or negative results of a drug test under the Drug Free Workforce Act. Includes pre-employment screening and background checks copies of required medical cards, documents generated in decisions to administer reasonable suspicion or post-accident testing and verifying medical data; employer's copy of alcohol test form, including the results of the tests; copy of the controlled substance test chain of custody control form, notice to report for testing, affidavit signed by the employee regarding any prescription drug or over the counter medication usage; work clearance forms and correspondence related to employee refusal to take or submit samples for an alcohol and or controlled substance test.	Until Termination + 1 Year

Documents	Description	Retention Period
Employee Medical Records (FMLA/AFLA)	FMLA/AFLA are designed to assist employees balance the demands of their jobs and the needs of their families. This record series consists of basic payroll and identifying employee data, pay documentation, dates FMLA leave is taken, copies of Family Leave Act qualification determinations, dispute data, medical certifications, written statements, correspondence, and other backup material	Until Termination + 3 Years
Employee Medical Records (Occupational Injury or Illness)	Reports for on the job accidents or illnesses that are forwarded to HR Operations and the insurance fund for worker's compensation or disability benefits claims.	7 Years
Grievance Case Files	Consists of Grievances filed by employees against the company Documentation should include investigative notes, reports, correspondence, and decisions/actions	Until Resolution + 5 Years
OSHA Logs		6 Years
Performance Record (Termination)		7 Years
Personnel Contracts	See Contracts (ICA; MOU's/Agreements)	Until Expiration + 6 Years

Documents	Description	Retention Period
Personnel Files	<p>Non-medical personnel employment history records that must include date of hire, rehire documentation, date and cause of termination or suspension. May include the following: applicant profiles, applicant certifications, job qualifications summaries, job service referral cards, union notifications, vocational rehabilitation referrals, resume, personnel actions, performance evaluations, declaration of familial relationships and nepotism waivers, confidentiality statements, applications for insurances and benefits, kudos/accolades, disciplinary actions, memos for approved leaves/absences, ethics disclosures, conflicts of interest, and training course completion notices. File should include employment eligibility verifications (I-9), Drug Free Workplace Act forms and the following signed statewide polices: EEO Harassment, ADA, Diversity, Use of Office Technology, Ethics Disclosures, and Statewide Policy Acknowledgements. Refer to Payroll Accounting (Accounting) for Employee Time and Attendance; See Employee Medical Records</p>	Until Termination + 7 Years

Documents	Description	Retention Period
Recruitment, Selection and Appointment Records	Departments may have the authority to recruit and examine certain classes positions directly, includes applications, transcripts, position vacancy announcements, and hiring approvals. Letters of introduction, test answer sheets, examination papers, records of ratings of applicants, selection criteria, interview questions and notes, and correspondence must also be retained.	2 Years from date of Hire
Retirement/Pension Records		Permanently
Unsolicited Employee Inquires (Not hired)	This record series consists of inquiry communications (letter/e-mail), resumes, and applications form individuals interested in employment. May include company response.	3 years
Withholding Tax Statements		Until Termination + 7 Years

## 2.11 Project Records

Documents	Description	Retention Period
Project Procurement Files	Solicitation, selection, award, and administration of contracts; including vendor contacts and responses, purchase/delivery orders, invoices, price quotations, ITB, RFQ, RFP, RAP backup, public notices, bid correction, or withdrawal documents, bid totals, protests, final decisions, written determinations, notice of intent to award, procurement reports, evaluation criteria and score sheets. Also consists of original contract and amendments/renewal's, special conditions, payment logs, reports, fiscal progress final appropriation data bond verification transcripts audio tapes and correspondence.	Until Contract Termination / Expiration + 6 Years
Technical Reference Files	Consists of Technical studies, publications, consultant reports, internet printouts from any source related to program administration and function	Until Administrative Need is met
Special Projects	Goals, Objectives, meeting agendas/minutes; reports; correspondence; budget, Gantt charts, and other schedules and project management, task assignments tracking and resource allocation data.	Permanently

Documents	Description	Retention Period
RFP, NOFO, & SOI	RFP (Requests for Proposals); NOFO (Notice of Funding Opportunity); SOI (Statement of Interest)	3 Years
Teaming Agreements	Teaming agreement involves two or more companies combining resources to bid on a government contract. Typically, this involves a large corporation and one or more small businesses, with the large corporation acting as the prime contractor to the government and the smaller company or companies serving as subcontractors to the prime contractor	Length of project + 3 Years
Project Budget and Budget Narrative		Length of project + 3 Years
Proposals		Length of project + 3 Years
Results Monitoring Plan		Length of project + 3 Years
Sub-Contract and Contract Agreements		Length of project + 3 Years
Workplans, Reports, etc.		Length of project + 3 Years
Project Property		Length of project + 3 Years

Documents	Description	Retention Period
Grant Administration Files (Grantor)	Financial, management and any other related material that is generated subsequent to application for and/or expenditure of grant funds to an entity. Includes applications and copy of notification of award, agreements/contracts; special conditions, fiscal reports, correspondence, monitoring data closeout documents; copy of audit report, reports prepared by grantee regarding status, progress, or compliance with grant agreement and other supporting documents	Until Conclusion + 6 Years
Grant Administration Files (Recipient)	Financial management and any other related material that is generated subsequent to application for and/or expenditure of grant funds received. Includes copies of RSA's, grant pass-thru documentations, and agency reports (status, progress, compliance, performance)	Until Audited or Until Conclusion + 6 Years

## 2.12 Property Records

Documents	Description	Retention Period
Deeds, Mortgages, Note Agreements, & Bills of Sale		Permanently
Property Appraisals (External)		Permanently

Documents	Description	Retention Period
Property Records	Includes: Costs, depreciation, reserves, year-end tail balances, depreciation schedules, blueprints, & plans	Permanently
Lease Administration Files	This records series documents administration of leases and includes notification of award, original lease and any amendments or renewals, special conditions, fiscal reports, payment logs, correspondence and/or reports	Until Expired + 3 Years
Equipment Records	Originals: Includes warranty information, repair/maintenance history, instruction/operating manuals, preventive maintenance logs, portable fire extinguisher tests, and daily boiler inspection logs/reports Copies: Includes delivery order, correspondence, general/preventive maintenance records and inventory lists.	Until Obsolete + 4 Years
Property Book Records	Copies of controlled property management reports, property tag register, excess property reports, interdepartmental property transfers, lost-stolen-damaged property reviews, property destruction authorizations, correspondence	Until Disposal + 3 Years



Documents	Description	Retention Period
Automotive Management	<p>Major Records: Includes copies of motor vehicle accident reports, certification of insurance, lost-stolen-damaged property reviews, inspection reports, maintained records (parts, service, repair estimates, work orders) Liability accident notices, registrations and titles</p> <p>Minor Records: credit card usage reports, fuel/lubricant receipts, monthly travel/mileage logs, sign out logs regarding acceptance/receipts of vehicles for use, vehicle assignment records which documents long-term or permanent use of vehicle to specific individual (I.E. Travel Log)</p>	Until disposal + 3 Years
Property (Land/Buildings)	<p>Property Records are active as long as the company owns/leases the land or building. These files support total costs of property acquisition or improvement and include but not limited to purchase orders, claim schedules, invoices, contracts, deeds, titles, plat maps, as-builts, easements, surveys, patents, site plans, classification orders, conveyance documents, covenants, checks, worksheets, statements, and correspondence</p>	Until Inactive + 4 Years

## 2.13 Tax Records

Documents	Description	Retention Period
Tax Returns & Worksheets	Includes: Revenue agents' reports and other documents relating to determining of income tax liability	Permanently
Withholding Tax Statements		7 Years
Payroll Tax Returns		
Pension/profit-sharing informational returns		Permanently
Sales and Use Tax Returns		Permanently

## 2.14 Security and Vetting Records

Documents	Description	Retention Period
Matrices	Excel spreadsheets or workbooks containing PII used for tracking and submitting employee, consultant, participant, or other names to the RAM or other system for vetting	Length of the contract +3 years
Emails	Emails regarding submission of persons for vetting or information regarding vetting status within the RAM or other vetting system.	Length of the contract +3 years

Documents	Description	Retention Period
Individual Vetting File	Any hardcopy or electronic record of an individual's vetting status or record of submission for vetting into the RAM or other vetting system, particularly as concerns PII (I.E. Vetting Application)	Length of the contract +3 years
Company Vetting File	Any hardcopy or electronic record of a company's vetting status or record of submission for vetting into the RAM or other vetting system, particularly as concerns PII (I.E. Company Vetting Process Form)	Length of the contract +3 years
Complete Vetting File	Any hardcopy or electronic records concerning vetting status within the RAM or other vetting system for projects that are completed	Length of the contract +3 years

## **3 DOCUMENT DESTRUCTION PROCEDURES**

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Unsentive documents may be disposed of by recycling or waste disposal. Where there is a question of sensitivity, the document should be considered sensitive. Unless document destruction is required by law, regulation or agreement, documents may be kept longer than the minimum required by the Record Retention Schedule.

Sensitive documents, including business documents, project documents, documents with PII or designated as proprietary or subject to non-disclosure, shall be disposed as outlined below. Shredding of documents shall be by cross-cut or micro-cut shredder only. Strip-cut shredders are not considered as an acceptable means of destruction.

### **3.1 Hardcopy Documents**

Hardcopy documents will be destroyed by shredding or fire. Copies of computer backups (discs) will be destroyed by fire or other proven means. Other proven means of destruction may include, pulverizing, crushing, incinerating, or any means that ensures the record is unreadable, undecipherable and non-reconstructable through generally available methods.

### **3.2 Electronic Documents**

Electronic records will be destroyed by erasing or modifying the information of the record, ensuring that it is permanently and irretrievably unreadable, undecipherable and non-reconstructable through generally available means.

### **3.3 Servers**

Unless specifically provided by an exception to policy, Servers owned by UNISHKA are considered an Electronic Document and shall be disposed of in accordance with this policy. Servers shall not be sold, donated or transferred without an approved exception to policy.

