

Iowa Cancer Consortium Document Retention Policy

Effective Date: December 13, 2019



Purpose

The Iowa Cancer Consortium (“Organization”) takes seriously its obligations to preserve information relating to litigation, audits, and investigations.

The information listed in the retention schedule below is intended as a guideline and may not contain all the records the Organization may be required to keep in the future. Questions regarding the retention of documents not listed in this chart should be directed to the Executive Director.

The Executive Director or President may issue a notice, known as a “legal hold,” suspending the destruction of records due to pending, threatened, or otherwise reasonably foreseeable litigation, audits, government investigations, or similar proceedings. No records specified in any legal hold may be destroyed, even if the scheduled destruction date has passed, until the legal hold is withdrawn in writing by the Executive Director or President.

For purposes of this policy, “employee” includes the executive director and their direct and indirect reports.

Policy Administration

If a subcontract exists for Consortium management staffing, infrastructure and information technology, electronic document retention will be governed and managed by the policies and procedures of the subcontracted entity.

State of Iowa General Conditions

The Consortium will abide by document retention policies/guidelines outlined in the [State of Iowa General Conditions](#). These policies/guidelines supersede those found within this document.

Document Retention Schedule

The following table serves as the retention and disposal schedule for physical records and electronic documents of the Consortium. The Executive Director is responsible for the administration of this policy and the implementation of processes and procedures to ensure that the Document Retention Schedule is followed. The Executive Director is authorized to:

- Make modifications to the Document Retention Schedule to ensure that it follows local, state and federal laws and includes the appropriate document categories for the Consortium.
- Monitor local, state and federal laws affecting record retention.
- Annually review the record retention and disposal program.
- Monitor compliance with this policy.

(See next page for Document Retention Schedule)



Document Retention Schedule

File Category	Item	Retention Period
Corporate Records	Bylaws and Articles of Incorporation, including amendments to each.	Permanent
	Corporate resolutions	Permanent
	Board and committee meeting agendas and minutes	Permanent
	Conflict-of-interest disclosure forms	4 years
	Written communication to members.	3 years
Finance and Administration	Financial statements (audited)	Permanent
	Auditor management letters	7 years
	Payroll records	7 years
	Check register and checks	7 years
	Bank deposits and statements	7 years
	Chart of accounts	7 years
	General ledgers and journals (includes bank reconciliations)	7 years
	Investment performance reports	7 years
	Equipment files and maintenance records	7 years after disposition
	Contracts and agreements and supporting documentation/records	7 years after all obligations end
	Correspondence — general	3 years
Insurance Records	Policies — occurrence type	Permanent
	Policies — claims-made type	Permanent
	Accident reports	7 years
	Safety (OSHA) reports	7 years
	Claims (after settlement)	7 years
	Group disability records	7 years after end of benefits
	Deeds	Permanent
Real Estate	Leases (expired)	7 years after all obligations end
	Mortgages, security agreements	7 years after all obligations end
	IRS exemption determination and related correspondence	Permanent
Tax	IRS Form 990s	Permanent
	Biennial report delivered to the secretary of state	Most recent
	Employee personnel files	Permanent
Human Resources	Retirement plan benefits (plan descriptions, plan documents)	Permanent
	Employee handbooks	Permanent
	Workers comp claims (after settlement)	7 years
	Employee orientation and training materials	7 years after use ends
	Employment applications	3 years
	IRS Form I-9 (store separate from personnel file)	Greater of 1 year after end of service, or three years
	Withholding tax statements	7 years
	Timecards	3 years
Technology	Software licenses and support agreements	7 years after all obligations end
Implementation Grants	Grant applications (funded)	7 years (after closure)
	Grant applications (unfunded)	1 year



Electronic Documents and Records

Electronic documents will be retained as if they were paper documents. Therefore, any electronic files that fall into one of the document types on the above schedule will be maintained for the appropriate amount of time. If a user has sufficient reason to keep an e-mail message, the message should be printed in hard copy and kept in the appropriate file or moved to an “archive” computer file folder. Backup and recovery methods will be tested on a regular basis.

Emergency Planning

The Organization’s records will be stored in a safe, secure, and accessible manner. Documents and financial files that are essential to keeping the Organization operating in an emergency will be duplicated or backed up at least every week and maintained off-site.

Document Destruction

The Executive Director is responsible for the ongoing process of identifying its records that have met the required retention period, and overseeing their destruction. Destruction of financial and personnel-related documents will be accomplished by shredding.

Document destruction will be suspended immediately upon any indication of an official investigation, or when a lawsuit is filed or appears imminent. Destruction will be reinstated upon conclusion of the investigation.

Compliance

Failure on the part of employees to follow this policy can result in possible civil and criminal sanctions against the Organization and its employees and possible disciplinary action against responsible individuals. The Executive Director and/or President will periodically review these procedures with legal counsel or the organization’s certified public accountant to ensure that they comply with new or revised regulations. The secretary of the board of directors is responsible for maintaining necessary records of meetings where no employee is present.

Acknowledgment

I have read and understand the purpose of the document retention policy. I understand that strict adherence to this policy is a condition of my engagement with the Consortium. If I do not understand something regarding this policy, I will contact the Executive Director immediately for clarification. I agree to abide by the Consortium’s policy.

Signature: X.	Name (printed):
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