	Policy Family RECORD MANAGEMENT
	Policy Name HFHI RECORD RETENTION
Issuing Department General Counsel	Approved By (SLT SPONSOR) Elizabeth Blake
Effective Date December 13, 2010	Release Date December 13, 2010
Scope This policy applies to all HFHI entities, including Headquarters, Area Offices, Branches and Consolidating Entities.	

1. Purpose

The purpose of this policy is to:

- a. Establish a framework for record retention to ensure effective business operations and compliance with applicable laws and regulations; and
- b. Aid employees of HFHI in understanding their obligations for retaining and disposing of physical and electronic documents including, but not limited to:
 - Financial records
 - Contracts
 - Statements of Work
 - E-mail
 - Web files
 - Text files
 - Sound, music and movie files
 - PDF documents
 - Microsoft Office documents

2. Background

Record retention is a practice to ensure that all necessary records are properly maintained for organizational use and compliance with laws and regulations. Record retention is part of an overall records management program that ensures not only the retention of necessary records, but also the destruction of unnecessary records which can be expensive to store and review. The record retention policy applies to all records, as defined below, regardless of the format or medium.

3. Related References

4. Definitions/Terminology Clarification

- a. Record - Documentation or any other informational material, regardless of physical form or electronic characteristics, created or received by HFHI in connection with the conduct of its business and that is required by law or necessary for the operation of HFHI to be retained for a specific period of time. Records may include, but are not limited to, the following: writing on paper; e-

mail; contracts; correspondence; price lists; invoices; photographs; databases and database elements; spreadsheets; videotaped footage; audiotape material; information stored on computer hard drives, servers, or compact disks; and any other transcribed information of any kind, expressed in either ordinary or machine language, which serves as a memorial or permanent evidence of whatever matter to which the record relates.

- b. **Non-Records** - Documents or other informational material that do not meet this policy's definition of a "record" or with respect to which there is no business, financial, legal, regulatory, or policy reason to retain for any period of time. Non-records include, but are not limited to, personal correspondence; documents not used to conduct HFHI business; duplicate copies of records kept solely for convenience or reference; and drafts of records that do not have any ongoing informational value or foreseeable relevance to HFHI's business.
- c. **Active Records** - Records that are needed to perform current operations and are subject to frequent use.
- d. **Inactive Records** - Records that are no longer needed to perform current operations, but are still required to be maintained based on the legally required retention period or because of historical or continuing value. Inactive records may be permanent (must be retained permanently) or non-permanent (must be retained through the retention period).
- e. **Department of Record** - Functional department responsible for the maintenance and disposal of records pertaining to their functional area.
- f. **Disposal Date** - The date which marks the end of the legally required retention period for non-permanent records or if no legal retention period applies, the date when the record should be disposed of unless it is subject to a legal hold due to threatened or pending litigation or investigation.
- g. **Record Retention Period** - Period of time records must be maintained by HFHI for administrative, legal, financial or historical purposes. Generally, records should be disposed of after the termination of the record retention period.
- h. **Record Retention Schedule** - A document that lists the types of records maintained by HFHI and specifies a period of time after which disposal is authorized as a matter of policy.
- i. **Legal Hold** - A formal communication issued in paper or electronic form to necessary/appropriate staff from the HFHI Legal Department. The legal hold will reference litigation or potential litigation and direct recipients to preserve pertinent records (including, without limitation, voicemail recordings, calendars, diaries, journals, emails, internal notes and memos, regardless of paper or electronic format).

5. Policy

- a. The HFHI Legal Department is authorized to recommend any changes to this policy and will work with the Internal Controls Department to develop procedures to support this policy.
- b. The HFHI Record Retention Schedule will be updated and revised as necessary from time to time and all HFHI departments will be responsible for ensuring that their respective schedules are updated and routed to the HFHI Legal Department. In the case of electronic data, the Legal Department will work in conjunction with the HFHI Information Technology Department to develop procedures for the retention and destruction of such data. All departments are required to implement and adhere to the policy.

c. Area offices, branches and consolidating entities outside the US must create record retention schedules that meet the functional buckets as indicated in the retention schedule (Attachment 1) as well as the laws and regulations of the local country.

d. Record Management

(1) Records must be maintained by the department of record if they are needed to:

- conduct the organization's operations;
- comply with requests of internal or external auditors;
- comply with legal requirements;
- comply with tax or other regulations of administrative bodies; and/or
- comply with grant requirements

(2) Records should not be retained if they are no longer needed for the operation of the business and are no longer required to be retained by law.

(3) Where a record to be retained pertains to a specific grant relationship, the record must be retained to meet the grant requirements.

e. Record Management Responsibility

(1) The functional department heads (defined as directors, senior directors or vice presidents directly reporting to senior vice presidents or higher) are responsible for:

- ensuring that their direct reports and team members understand the requirements of this policy and follow procedures implemented to ensure adherence to the policy;
- ensuring that all records within their departments are properly maintained in accordance with this policy;
- approving the disposal of records;
- approving record retention schedules specific to the records created or received by the department, within the parameters of the retention schedule in this policy;
- ensuring that a periodic review of records is conducted to determine whether any active records should be designated as inactive records and are properly stored within a designated storage facility for the required retention period; and
- selecting a records liaison for the department. Liaisons will be the primary contact between the department and the HFHI Records Center or any third party vendor providing storage, archival or destruction services.

(2) Any questions regarding the required retention period for records not addressed in this policy should be directed to the applicable functional department and to the Legal Department to ensure compliance with applicable laws and regulations.

f. Record Retention/Storage

(1) All HFHI entities should develop procedures to facilitate the process for adequately managing and storing records through the required retention period. Entities should consider a central records center or third party vendor to manage the retention and destruction of records.

(2) All records should be retained in accordance with the record retention schedules. Note that the content of the record determines how long it must be retained, not the format, physical characteristics, or method of transmission.

(3) Retention of Non-Records

Non-records have no administrative, legal, fiscal, or archival requirements and should be routinely deleted or destroyed.

(4) Retention of Active Records

Active records should be retained locally until they are no longer needed to perform current operations. When active records become inactive, they must be retained and adequately stored by the functional department, transferred to the central records center, or retained by a third party vendor in accordance with this policy, paragraph 5f(5) below.

- (a) Records for grants must remain in active file status for the period of the grant; that is, while the grant remains open.
- (b) Records for contracts must remain in active status for the duration of the contractual relationship.

(5) Retention of Inactive Records

Inactive records must be retained and adequately stored by the functional department, transferred to its central records center, or transferred to a third party vendor for retention in accordance with this policy. Inactive records will be retained based on the approved record retention schedule and will be disposed of once the retention period has expired unless they have been designated for permanent retention.

- (a) The retention period for contract records must begin when the contractual relationship has ended. The contract is then considered inactive.
- (b) The retention period for grant records must begin when the grant is closed, and retained for 7 years after notification of the final close out. When a record to be retained pertains to a specific grant relationship, the record must be retained to meet the longer retention period.

(6) Record Disposal

- (a) Disposal of records must be performed pursuant to this policy and in accordance with the approved record retention schedule.
- (b) Written approval to dispose of records must be obtained from the functional department head (defined as directors, senior directors or vice presidents reporting directly to a senior vice president or higher).
- (c) After the appropriate record retention period has been satisfied and documented approval received, paper records should be disposed of by electronic shredding. If electronic shredding is not feasible, documents should be burned to ensure that all information in the record is rendered unreadable.
- (d) After the appropriate record retention period has been satisfied and documented approval received, electronic records should be disposed of by secure deletion.
- (e) All disposals must be documented on the records disposal form (see Attachment 2), approved by functional department heads and a copy retained by the respective records liaisons and records center, for the required retention period outlined in the required retention schedule (Attachment 1).
- (f) If records are held by third party vendors for storage and destruction, or a third party vendor is used to destroy records, a certificate of destruction must be obtained and retained by the records liaison as evidence of destruction for the required retention period.

- (g) Destruction suspension can be obtained where records must be held due to audit, government investigation litigation, or any administrative action. All suspensions must be documented on the suspension form (Attachment 3), approved by functional department heads, and a copy retained by the respective records liaisons and records center for the required retention period.

(7) Electronic Records and E-mail

- (a) Electronic information, such as e-mail, e-mail attachments, databases and database elements, spreadsheets, videotaped footage, audiotape material, and information stored on computer hard drives, servers, or compact disks that meets the criteria for a record as described in the definitions above, should be treated like any other record and retained for the required retention period.
- (b) E-mail messages are documents that are created, sent and received by a computer system and so are similar to correspondences, memorandums and other forms of physical communication. The content of the e-mail (whether it serves to document the organization, functions, policies, decisions, procedures, operations or other activities) and any attachment must be reviewed to determine if the document meets the criteria of a record.
- (c) E-mail messages that meet the criteria for a record must be scheduled and retained for the appropriate time period pursuant to the applicable retention schedule. Such emails should not be kept in the senders/recipients outlook but should be saved to a network folder designated for that use.
- (d) E-mail messages that **DO NOT** meet the criteria for a record should be routinely deleted. Examples of messages that do not meet the criteria for a record include but are not limited to, personal e-mail, meeting invitations, or personal lunch requests.

(8) Legal Hold Procedures

- (a) Where there is a potential or pending litigation, investigation or proceeding, the disposal of a record is **prohibited and must be stopped immediately**. A legal hold must be issued by the HFHI Legal Department.
- (b) This provision supersedes any required retention period that would require disposing of records at an earlier date.
- (c) Any HFHI employee that is notified of any type of litigation threat, legal action or investigation by any authority must immediately notify the HFHI Legal Department.
- (d) The HFHI Legal Department will determine, based on information gathered, whether a legal hold must be issued.
- (e) If a legal hold is issued, the HFHI Legal Department will notify the affected department to identify all records that are relevant to the legal hold.
- (f) The affected department must do the following to facilitate the legal hold process:
 - i. Identify and preserve all applicable records related to the threatened or pending litigation;
 - ii. Preserve any new records generated after the legal hold is issued;

- iii. Work with the HFHI Legal Department to implement a plan to review and provide specific records as quickly as possible;
- iv. Document all actions taken by the department to comply with the legal hold requirements; and
- v. Not resume any records disposal until formal notification is sent by the HFHI Legal Department stating that the legal hold has been lifted.

6. Other Considerations

- a. When a HFHI entity located outside of the U.S. is not able to comply with or meet the intent of this policy, the HFHI entity's CEO/AVP or his or her designee must document the reasons for the inability to comply and submit alternative actions to the HFHI Legal Department.
- b. If local country (outside the U.S.) law requires the retention of records for periods longer than the retention schedule outlined in this policy, that local country law should supersede the required retention schedule.
- c. All known audits and audit exceptions regarding any listed record must be settled and cleared before the record is destroyed.
- d. This policy supersedes any existing policy relating to record retention.

7. Change History

Date	Change #	Modification

8. Attachments

- Attachment 1- Record Retention Schedule
- Attachment 2- Record Disposal Form
- Attachment 3- Record Disposal Suspension Form

Attachment 1

Record Retention Schedule

The record retention requirements are categorized by record type. The table below lists all associated records that contain specific retention requirements.

Financial Records: General Accounting & Reporting					
Record	Location	Retention Time (Years)		Responsibility	Disposal Method
		On-Site	Off-Site		
Any work papers used and relied upon by independent auditors for financial statements and/or internal audits	Finance	3	4	Controller	Shredding/Secure Deletion
A/P ledgers and schedules	Accounts Payable	3	4	Controller	Shredding/Secure Deletion
A/R ledgers and schedules	Accounts Receivable	3	4	Controller	Shredding/Secure Deletion
Bank reconciliations	Finance	2	N/A	Controller	Shredding/Secure Deletion
Bank statements	Finance	3	N/A	Controller	Shredding/Secure Deletion
Cash books	Finance	3	P	Controller	N/A
Charts of accounts	Finance	3	P	Controller	N/A
Checks – (canceled – see exception below)	Finance	3	4	Controller	Shredding/Secure Deletion
Checks – (canceled for important payments, i.e., taxes, purchases of property, special contracts, etc. Checks should be filed with papers pertaining to the underlying transaction.)	Finance	3	P	Controller	N/A
Depreciation schedules	Finance	3	P	Controller	N/A
Duplicate deposit slips	Finance	3	N/A	Controller	Shredding/Secure Deletion
Expense analyses/expense distribution schedules	Finance	3	4	Controller	Shredding/Secure Deletion
Financial statements	Finance	3	P	Controller	N/A
General ledgers, year-end trial balance	Finance	3	P	Controller	N/A

Audit reports	Finance	3	4	Controller	Shredding/Secure Deletion
Invoices (from vendors)	Accounts Payable	3	4	Controller	Shredding/Secure Deletion
Journals	Finance	3	P	Controller	N/A
Petty cash vouchers	Finance	3	N/A	Controller	Shredding/Secure Deletion
Purchase orders	Accounts Payable	3	4	Controller	Shredding/Secure Deletion
Cash receipts	Accounting/ Operations	3	4	Controller	Shredding/Secure Deletion
Requisitions	Accounting	3	4	Controller	Shredding/Secure Deletion
Subsidiary ledgers	Accounting	3	4	Controller	Shredding/Secure Deletion
Voucher register and schedules	Accounts Payable	3	4	Controller	Shredding/Secure Deletion
Vouchers for payments to vendors, employees, etc. (includes allowances and reimbursement of employees, officers, etc. for travel and entertainment expenses)	Accounts Payable	3	4	Controller	Shredding/Secure Deletion
Correspondence (routine) with outside entities and vendors	Finance/ Accounts Payable	2	N/A	Author/Recipient	Shredding/Secure Deletion
Correspondence with vendors concerning significantly disputed matters	Finance/ Accounts Payable	3	4	Controller/Dir, Financial Planning & Analysis	Shredding/Secure Deletion
1099 Files	Accounts Payable	1	6	Controller	Shredding/Secure Deletion
Grant agreements	Finance/Grant Management	3	4	Controller/ Dir Grants/Donor Compliance & Reporting	Shredding/Secure Deletion
Start-up transition of NO or Branch	Int'l Finance	N/A	7- Online	Sr Dir, IF	Secure Deletion

Financial Records: Property Records

Records	Location	Retention Time(Years)		Responsibility	Disposal Method
		On-Site	Off-Site		
Mortgages and notes	Finance	3	7	Controller	Shredding/Secure Deletion
Deeds, mortgages, and bills of sale	Finance/ Facilities	3	P	Controller	N/A
Property appraisals by out-	Finance/ Facilities	3	P	Controller	N/A

side appraisers					
Property (Fixed Asset) records, including costs, depreciation reserves, year-end trial balances, depreciation schedules, blue-prints and plans	Finance	3	P	Controller	N/A
Vehicle titles, registration, notes, insurance	Facilities	3	7	Controller	Shredding/Secure Deletion
Financial Records: Tax					
Records	Location	Retention Time (Years)		Responsibility	Disposal Method
		On-Site	Off-Site		
Tax returns and worksheets, revenue agents' reports, and other documents relating to determination of income tax liability	Accounting	3	P	Controller	N/A
Payroll tax returns (W-2s)	Accounting/ Payroll	3	P	Controller	N/A
Legal Records					
Record	Location	Retention Time (Years)		Responsibility	Disposal Method
		On-Site	Off-Site		
Contracts and Agreements – Affiliate, Vendors, Professional Services (still in effect)	Legal	Until no longer active +1	7	SVP, Govt Affrs, Advcy & Legal	Shredding/Secure Deletion
Contracts and Agreements (expired or terminated)	Legal	4	3	SVP, Govt Affrs, Advcy & Legal	Shredding/Secure Deletion
Correspondence (legal matters)	Legal			SVP, Govt Affrs, Advcy & Legal	Shredding/Secure Deletion
Accelerated Asset Recovery Securitizations	Legal	P	N/A	SVP, Govt Affrs, Advcy & Legal	N/A
Closed litigation and settlement files	Legal			SVP, Govt Affrs, Advcy & Legal	
Insurance policies	Legal	P		SVP, Govt Affrs, Advcy & Legal	
Litigation Files	Legal	Until Final	2	SVP, Govt Affrs, Advcy & Legal	Shredding/Secure Deletion
Corporate Files	Legal	P	N/A	SVP, Govt Affrs,	N/A

(By-Laws, Articles of Incorporation, IRS Filings)				SVP, Govt Affrs, Advcy & Legal	
Board of Directors minutes	Legal	P	N/A	SVP, Govt Affrs, Advcy & Legal	N/A
Patents and related papers	Legal			SVP, Govt Affrs, Advcy & Legal	
Trademark registrations and copyrights	Legal	P	N/A	SVP, Govt Affrs, Advcy & Legal	N/A
Record Disposal Forms	Records Center	2	N/A	SVP, Govt Affrs, Advcy & Legal	Shredding/ Secure Deletion
Record Disposal Suspension Forms	Records Center	2	N/A	SVP, Govt Affrs, Advcy & Legal	Shredding/ Secure Deletion
Certificates of destruction	Records Center	2	N/A	SVP, Govt Affrs, Advcy & Legal	Shredding/ Secure Deletion
Record Retention Schedule	Legal	2	N/A	SVP, Govt Affrs, Advcy & Legal	Shredding/ Secure Deletion

Internal Audit

Record	Location	Retention Time (Years)		Responsibility	Disposal Method
		On-Site	Off-Site		
Audit reports	IAD	2	5	VP, IAD	Shredding/ Secure Deletion
Audit memos	IAD	1	2	VP, IAD	Shredding/ Secure Deletion
Investigation files	IAD	2	5	VP, IAD	Shredding/ Secure Deletion
Work papers (electronic)	IAD	2	Archive Database - 5	VP, IAD	Shredding/ Secure Deletion
Reference material	IAD	2	N/A	VP, IAD	Shredding/ Secure Deletion
Audit Committee reports	IAD	2	5	VP, IAD	Shredding/ Secure Deletion
Board packages	IAD	2	5	VP, IAD	Shredding/ Secure Deletion
Training material	IAD	3	N/A	VP, IAD	Shredding/ Secure Deletion

Human Resources

Record	Location	Retention Time (Years)		Responsibility	Disposal Method
		On-Site	Off-Site		
Hiring, position and application	HR	2	1	SVP, HR, Lrnig Sytms/Org Dev	Shredding/ Secure Deletion
Active personnel files	HR	Till termination	N/A	SVP, HR, Lrnig Sytms/Org Dev	Shredding/ Secure Deletion
Inactive personnel files	HR	1	6	SVP, HR, Lrnig Sytms/Org Dev	Shredding/ Secure Deletion
Completed 1-9 Forms	HR	3	N/A	SVP, HR, Lrnig Sytms/Org Dev	Shredding/ Secure Deletion
EEO-1 Report	HR	2	5	SVP, HR, Lrnig Sytms/Org Dev	Shredding/ Secure Deletion
Health/Life insurance policies, enrollment	HR	3	P	SVP, HR, Lrnig Sytms/Org Dev	N/A
Claims, logs	HR	2	10	SVP, HR, Lrnig Sytms/Org Dev	Shredding/ Secure Deletion
Retirement plans	HR	5	P	SVP, HR, Lrnig	Shredding/

				Sytms/Org Dev	Secure Deletion
Personnel training manuals, policy statements, and handbooks	HR	3	P	SVP, HR, Lrnig Sytms/Org Dev	Shredding/ Secure Deletion
IRS 5500 Forms	HR	P	P	Sr Dir, HR	Shredding/ Secure Deletion

Information technology

Record	Location	Retention Time (Years)		Responsibility	Disposal Method
		On-Site	Off-Site		
IT Surveys/ Results	IT	2	N/A	CIO	Shredding/ Secure Deletion
TA-Exchange Requests	IT	1	4	CIO	Shredding/ Secure Deletion
TA-System Documentation	IT	Until System Upgraded	N/A	CIO	Shredding/ Secure Deletion
Manuals	IT	Until System Upgraded	N/A	CIO	Shredding/ Secure Deletion
System Security-Modification Files	IT	P	P	CIO	Shredding/ Secure Deletion
Security Request (All Systems)	IT	2	P	CIO	Shredding/ Secure Deletion
Software Index	IT	Retain till updated	N/A	CIO	Shredding/ Secure Deletion
Software licenses (certificates, licenses)	IT	3	N/A	CIO	Shredding/ Secure Deletion
Software - CD-ROMs	IT	Retain till upgraded	N/A	CIO	Shredding/ Secure Deletion
Security and Usage policy acknowledgements	IT	Retain and update each year till termination(Personnel File)	N/A	CIO	Shredding/ Secure Deletion
IT Project Files	IT	2	3	CIO	Shredding/ Secure Deletion

Learning and Organizational Development

Record	Location	Retention Time (Years)		Responsibility	Disposal Method
		On-Site	Off-Site		
Team bio	LOD	Thru employment	N/A	SVP, HR, Lrnig Sytms/Org Dev	Shredding/ Secure Deletion
Participant lists	LOD	3 (Online)	N/A	SVP, HR, Lrnig Sytms/Org Dev	Secure Deletion
Course materials	LOD	P	N/A	SVP, HR, Lrnig Sytms/Org Dev	N/A
Correspondence (routine) with outside learning entities	LOD	3	N/A	SVP, HR, Lrnig Sytms/Org Dev	Shredding/ Secure Deletion
Working course documents	LOD/ SharePoint	P	N/A	SVP, HR, Lrnig Sytms/Org Dev	N/A

Resource Development					
Record	Location	Retention Time (Years)		Responsibility	Disposal Method
		On-Site	Off-Site		
Contributor record: donor profiles, proposals, stewardship reports, agreements ACTIVE INACTIVE		7 N/A	N/A 3	SVP, Development	Shredding/ Secure Deletion
All reports		3	4	SVP, Development	Shredding/ Secure Deletion
Correspondence (routine) with outside entities, donors		3	N/A	Author/Recipient	Shredding/ Secure Deletion
Correspondence concerning significantly disputed matters		3	4	SVP, Development	Shredding/ Secure Deletion
Donor records (all types)		5	N/A	SVP, Development	Shredding/ Secure Deletion
Rental records		2	N/A	SVP, Development	Shredding/ Secure Deletion
Strategic plan		5	N/A	SVP, Development	Shredding/ Secure Deletion
All campaign/ direct mail files, including Release Forms		2	2	SVP, Development	Shredding/ Secure Deletion
Scripts		2	N/A	SVP, Development	Shredding/ Secure Deletion
Marketing and Communication					
Record	Location	Retention Time(Years)		Responsibility	Disposal Method
		On-Site	Off-Site		
Correspondence (routine) with outside entities, volunteers, and internal		2	N/A	Author/Recipient	Shredding/Secure Deletion
Correspondence concerning significantly disputed matters		3	4	SVP, Marketing and Communication	Shredding/Secure Deletion
Volunteer records (all kinds) - applications, waivers, etc.		2	4	SVP, Marketing and Communication	Shredding/Secure Deletion
Event Budgets		2	3	SVP, Marketing and	Secure Deletion

				Communication	
Event planning records		2	3	SVP, Marketing and Communication	Secure Deletion
Event surveys		2	3	SVP, Marketing and Communication	Secure Deletion
Video production		P	N/A	SVP, Marketing and Communication	N/A
Photo files		P	N/A	SVP, Marketing and Communication	N/A
Art samples		P	N/A	SVP, Marketing and Communication	N/A
Habichat files		2	P	SVP, Marketing and Communication	N/A
All reports (internal, statistical, marketing related)		2	7	SVP, Marketing and Communication	Shredding/Secure Deletion
Press release (electronic)		P	N/A	SVP, Marketing and Communication	N/A
News clips (all media)		2	P	SVP, Marketing and Communication	N/A


U.S. Operations

Record	Location	Retention Time (Years)		Responsibility	Disposal Method
		On-Site	Off-Site		
Government Programs - Grant Agreements	U.S. Ops	3	4	VP Operations USA/ Canada	Shredding/Secure Deletion
Grant awards	U.S. Ops	3	4	VP Operations USA/ Canada	Shredding/Secure Deletion
Correspondence (routine) with Affiliates	U.S. Ops	2	N/A	Author/Recipient	Shredding/Secure Deletion
Correspondence concerning significantly disputed matters	U.S. Ops	3	4	VP Operations USA/ Canada	Shredding/Secure Deletion
U.S. Affiliate Application	U.S. Ops	3	4	VP Operations USA/ Canada	Shredding/Secure Deletion
U.S. Affiliate Financial reports	U.S. Ops	3	4	VP Operations USA/ Canada	Shredding/Secure Deletion
K990	U.S. Ops	3	4	VP Operations USA/ Canada	Shredding/Secure Deletion
All reports (U.S. Affiliate statistics, housing, etc.)	U.S. Ops	3	4	VP Operations USA/ Canada	Shredding/Secure Deletion
U.S. Affiliate Board Meetings	U.S. Ops	3	P	VP Operations USA/ Canada	N/A

International Operations

Area Offices, Branches and Consolidated Entities must ensure a retention schedule is created in accordance with local laws and regulations.

Record Disposal Form

	<p>Request and Authorization for Record Disposal</p>
<p><i>Instructions: A record disposal form must be completed and approved for all documents prior to destruction. The disposal form must be filed and retained by the respective functional departments. Forms must be held by functional departments for at least one year after disposal of document(s)/media.</i></p>	
<p>Date:</p>	<p>Required by/Title:</p>
<p>Record name/Description:</p>	
<p>Location of record/Record No.:</p>	
<p>Type of record:</p>	
<p>Under provision of the Record Retention Policy, I hereby request permission to dispose of the following record(s) which have no further legal, fiscal, administrative or historical use to this department:</p> <p><input type="checkbox"/> Records have fulfilled retention requirement</p>	
<p>Authorized By:</p>	
<p>Authorization Date:</p>	
<p><input type="checkbox"/> Logged and retained by records center/records liaison</p>	

Record Disposal Suspension Form

	<p>Request and Authorization for Record Disposal Suspension</p>
<p><i>Instructions: A record disposal suspension form must be completed and approved for all documents that must be held due to audit, government investigation, litigation and administrative action prior to destruction. The disposal suspension form must be filed and retained by the respective functional departments (records center, records liaison, and/or third party vendor). Forms must be held for at least one year after disposal of document(s)/media.</i></p>	
<p>Original Destruction Date:</p>	<p>Required by/Title:</p>
<p>Suspension period:</p>	
<p>Record name/Description:</p>	
<p>Location of record/Record No.:</p>	
<p>Type of record:</p>	
<p>Reason for Suspension:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Audit <input type="checkbox"/> Government investigation <input type="checkbox"/> Litigation <input type="checkbox"/> Administrative action 	
<p>Details:</p>	
<p>Authorized By:</p>	
<p>Authorization Date:</p>	
<p><input type="checkbox"/> Logged and retained by records center/records liaison</p>	