

UUCNH Document Management Policy

Approved by the UUCNH Board of Trustees on April 20, 2021

1. Introduction

Documents are a vital part in the effective functioning of any organization. We need a repository both for documents on a short-term basis to help us to work consistently and productively and also to keep track of progress in projects and activities. Creating standards for document management and ensuring that documents are created, managed and disposed of appropriately is a key part of good information management that will improve efficiency and mitigate legal and compliance risks (e.g. requirements relating to data protection, tax and human resources obligations). This must also be supported with the necessary guidance and training for everyone creating or using these documents to ensure they are confident and competent document handlers with access to all necessary information. Finally, retaining documents provides for seamless transitions whenever staff and volunteers change within our organization, providing for ongoing institutional memory that isn't dependent on any one person.

2. Definitions

- A. Document - ISO9000 defines a document as "information and its supporting medium", meaning that it can include a wide range of both hard copy and digital formats and is not simply limited to written information. It can also be a photograph, video or audio record of an event. (www.bris.ac.uk)
- B. Staff – paid staff, contractors (short or long term)
- C. Volunteers – unpaid people involved in the governance and ministry of the church
- D. Vital Records - Records necessary for church operations
- E. Google Workspace - Google Workspace, formerly known as G Suite, is a collection of cloud computing, productivity and collaboration tools, software and products developed and marketed by Google.
- F. UUCNH – The Unitarian Universalist Church of the North Hills
- G. Digital and Electronic – are synonyms

3. Purpose

This policy sets out standards to:

- A. As appropriate and approved by authorized individuals, allow documents to be accessed, used and reused, or retained in a controlled and efficient manner.
- B. Ensure the continuity of UUCNH operations and ministry from year to year.
- C. Ensure that documents are kept, maintained and stored in the most economical and safely-preserved way consistent with the objectives for which they were created and the overall health of UUCNH.

4. Scope

This policy applies to any individual creating or handling documents on UUCNH's behalf. The policy applies to all documents held in any format (paper or digital), including (but not limited to):

- A. Policies and guidance
- B. Meeting minutes and supporting documents
- C. Reports
- D. Contracts
- E. Presentations
- F. Official communications
- G. Photographs
- H. Orders of Service

- I. Receipts, invoices, checks, and other records of payment or amounts owed
- J. All Accounting documents
- K. Human Resource and other employee files
- L. Documents required to be maintained by any employer as required by Pennsylvania and federal law
- M. Disciplinary reports of any sort
- N. Staff, member, or contractor dismissal papers
- O. Tax records and supporting documents
- P. Correspondence, filings, and other documents concerning UUCNH's membership in the Unitarian Universalist Association of America
- Q. All permits, licenses, certificates, membership cards or the like, regardless of duration or source (including expired documents that were in effect within the past 10 years)
- R. All legally required documentation, regardless of the source of such regulation
- S. All other documents necessary for the operation and management of UUCNH in a lawful manner

5. Document Retention Requirements

The following tables outline the documents to be retained and the group, team, committee, or task force within UUCNH responsible for maintaining them.

A. Organizational Records - Responsible: Board of Trustees

Category	Doc Bundle	Artifact	Retention Time	Electronic/Physical
Organizational	Corporate Documents	Articles of Incorporation	Permanent	Physical/Electronic
Organizational	Bylaws	Bylaws	Permanent	Electronic
Organizational	Corporate Documents	Board Meeting Minutes	Permanent	Electronic
Organizational	Corporate Documents	Congregational Meeting Minutes	Permanent	Electronic
Organizational	Corporate Documents	Annual Budgets	Permanent	Electronic
Organizational	Insurance Policies	Insurance Policies	6 years, unless outstanding claims are still being adjudicated.	Electronic
Organizational	Architectural Drawings, Blueprints, and Maps	Architectural Drawings, Blueprints, and Maps	Permanent	Physical
Organizational	Contracts	Repairs, Maintenance, Lease Agreements, Employment, Work for Pay, Loans	Service contracts: 4 years from completion of service work Repairs, Leases, Loans: 6 years from termination or natural end of contract	Electronic

			New Construction, Long Term Leases: Permanent Employment: Permanent	
Organizational	Deeds	Deeds, Title Papers, Conveyances, Covenants, Easements	Permanent	Physical & Electronic
Organizational	Real Estate Surveys	Surveys, Plot Plans and related correspondence	Permanent	Physical
Organizational	Property Files	Repair History, Permits, Lease agreement, Facility Maintenance Records	Permanent	Electronic
Organizational	Policies and Procedures	Church Policies and Procedures	Permanent	Electronic
Organizational	Employment Contracts and Employee Human Resource files, disciplinary reports, and related documentation	Copies of letters of call to the pastors. Employment contracts for all Staff	During Employment + 7 years	Electronic
Employment	Human Resources Files	Completed Ministerial Performance Appraisals	During Employment + 7 years	Electronic

B. Financial Records - Responsible: Finance Committee

Category	Bundle	Artifact	Retention Time	Electronic/Physical
Financial	Accounts Payable Records	Claims & Disbursements, Expenses, Accounting, Bookkeeping, Paid Invoices, Finance, Purchasing	7 years	All in QuickBooks; can be reviewed by going to backups as needed.
Financial	Accounts Receivable	Membership contributions	7 years	Actively Kept in Breeze. Archived in

	Records			an electronic report annually in Google Workspace.
Financial	Annual Fiscal Reports	Closing of the Books Records, Financial Reports, Balance Reconciliation Records	Permanent	Electronic. Archived annually in Google Workspace.
Financial	Financial Documents	Payroll Records	7 years, except for W-2s, which are permanent.	All in QuickBooks; Bellwood is filing the tax returns. We will archive digital reports and W-2s as per Retention Time column.
Financial	Financial Documents	Quick Books	7 years	Backup file created monthly, and an annual backup which replaces the monthlies.
Financial	Bank Deposits/Statements	Bank Deposit Books, Bank Statements	7 years	Determined by financial institution, online. Archive a PDF report annually.
Financial	Bequest & Estate Papers	Wills, Gift Agreements, Bequests	Permanent	Physical and Electronic
Financial	Budget Records	Annual Budget	Permanent	Electronic
Financial	Certificates of Deposits		Depends on term.	No need to keep after maturity.
Financial	Tax-Exempt Certificates	Digital record of state tax exemption	Permanent	Electronic
Financial	Invoices		Permanent for major construction, 3 years for others.	Electronic

C. Employment Records (confidential) - Responsible: Personnel Committee

Category	Bundle	Artifact	Retention Time	Electronic/Physical
Employment	Human Resources Files	All Completed Employee Applications	During candidacy and Employment of eventual hire + 7 years	Electronic
Employment	Human Resources Files	Record of Reference Checks	During candidacy and Employment	Electronic

		Performed	of eventual hire + 7 years	
Employment	Human Resources Files	Criminal Background Check Results	During candidacy and Employment of eventual hire + 7 years	Electronic
Employment	Human Resources Files	Notes from Employee Interview	During candidacy and Employment of eventual hire + 7 years	Electronic
Employment	Human Resources Files	Exit Interview Documentation	7 years	Electronic
Employment	Employment Eligibility Verification Forms	IRS and state tax forms, drivers and other licenses, passports, visas, and similar documents	During candidacy and Employment of eventual hire + 7 years	Electronic
Employment	Employment Policies and Procedures Records	Personnel Policy Manual	Permanent for current policy manual, and 7 years for older manuals after update	Electronic
Employment	Human Resources Files	Benefits Policy and Procedure Records	Permanent	Electronic and Physical
Employment	Human Resources Files	Written Grievances and forms	Active + 7 years	Electronic
Employment	Human Resources Files	Tax Withholding Authorization Records	Active + 7 years	Electronic
Employment	Human Resources Files	Rejected and Incomplete Employment Applications solely for use as reference materials by future hiring and search committees	During candidacy and Employment of eventual hire + 7 years	Electronic
Employment	Human Resources Files	Evidence of Worker Screening Procedures	During candidacy and Employment of eventual hire + 7 years	Electronic if possible

Employment	Human Resources Files	Insurance and other Benefit Election Records	During Employment + 7 years	Electronic
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D. Operational Records – Responsible: Ministry

Category	Bundle	Artifact	Retention Time	Electronic/Physical
Operational	Human Resources Files	Incident/Accident Reports	7 years	Electronic
Operational	Human Resources Files	Signed Activity Participation Agreements	During Employment + 7 years	Electronic
Operational	Human Resources Files	Special Medical Needs Forms	During Employment + 10 years	Electronic
Operational	Human Resources Files	Teacher Clearances	10 years from last day individual teacher participated in Faith Development	Electronic
Employment	Human Resources Files	Completed Performance Appraisals	During Employment + 7 years	Electronic
Employment	Human Resources Files	Personnel Files organized by employee	During Employment + 7 years	Electronic and Physical
Organizational	Newsletters	Church Newsletters	Permanent	Electronic
Organizational	Membership Records	Membership Register, Baby Dedications, Marriages, Resignations	Permanent	Electronic and Physical

E. Operational Records – Responsible: Teams and Committees

Team/Committee	Individual Committee Subfiles	Presentations	3 years	Electronic
Team/Committee	Individual Committee Subfiles	Meeting Minutes	5 years	Electronic
Team/Committee	Individual Committee Subfiles	Reports	3 years	Electronic
Team/Committee	Individual Committee	Plans	3 years from execution of plan	Electronic

	Subfiles			
Team/Committee	Individual Committee Subfiles	Materials Used as Resources for the Work of the Team/Committee	Permanent	Electronic
Team/Committee	Individual Committee Subfiles	Budget	3 years	Electronic

6. Where

- A. Electronic Records
 - 1. Google Workspace
- B. Foundational & Legal Documents
 - 1. Original Paper Doc - Locked File Cabinet in safe deposit box
 - 2. Scan of Document – Google Workspace
 - 3. Fire-proof Safe
- C. Paper Records
 - 1. Scanned and placed in Google Workspace
 - 2. Locked Office File Cabinet in UUCNH office
 - 3. Fire-proof Safe (Bylaws, Corporate Documents in paper form, Membership Book, Architectural Diagrams)
- D. Photos
 - 1. Google Workspace
 - 2. Chosen or fragile documents in UUCNH office
- E. Financial Records
 - 1. Bank – Electronic Statements saved to Dropbox
 - 2. Pledge/Contribution Records - Breeze with backup in Google Workspace
 - 3. Financial Reports: - Google Workspace
 - 4. Employee tax documents – QuickBooks

7. Who

- F. Board of Trustees
 - 1. Ensure board committees are adhering to policy
 - 2. Ensure that organizational documents are retained according to this Policy
 - 3. Grant and withdraw permissions to access documents
 - 4. Review and instruct on corrective methods for violations of this Policy
 - 5. Ensure maintenance of corporate and legally required documents
 - 6. Ensure only current Board members have access to Board files and former members' access is withdrawn
- G. Minister & Ministry Council
 - 1. Ensure ministry teams are adhering to policy
 - 2. Ensure that operational documents are retained according to this Policy
- H. Team / Committee Chairs and Team Members
 - 1. Ensure team/committee documents are retained as specified
 - 2. Ensure only current team members have access to their team/committee files and former members' access is withdrawn

- I. Communications Team
 1. Provide Google Workspace Support as required
 2. Perform Google Workspace Audit

8. References

1. <http://www.bris.ac.uk/media-library/sites/secretary/documents/information-governance/document-management-policy.pdf>
 - Introduction
 - Purpose
 - Scope
2. <https://www.brotherhoodmutual.com/resources/safety-library/risk-management-articles/administrative-staff-and-finance/documents-and-data/records-retention-for-ministries/>
 - Types of Documents to Be Retained
3. <https://flbaptist.org/how-long-should-we-keep-church-records-summary/>
4. [https://www.memphis-umc.net/files/fileslibrary/local-churchsched-2017+\(1\).pdf](https://www.memphis-umc.net/files/fileslibrary/local-churchsched-2017+(1).pdf)