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# 5 **DMTF Document Retention and Destruction** 6 **Policy**

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## Foreword

45 The *DMTF Document Retention and Destruction Policy* (DSP4017) was prepared by the Process Task  
46 Force.

47 DMTF is a not-for-profit association of industry members dedicated to promoting enterprise and systems  
48 management and interoperability. For information about the DMTF, see <http://www.dmtf.org>.

## 49 **Acknowledgments**

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# DMTF Document Retention and Destruction Policy

## 53 1 Retention and destruction policy

54 The *DMTF Document Retention and Destruction Policy* addresses the retention and destruction of  
 55 records pertaining to corporate governance; corporate finance and operations; and correspondence and  
 56 records related to member contributions to the creation of specifications and standards. Where  
 57 discrepancies occur (for example, correspondence relevant to a standard), the longer of the two retention  
 58 periods shall apply.

59 The definitive official copies of documents stored on paper media are stored at the headquarters office.  
 60 Documents stored in electronic or digital form will be maintained on servers or devices under the control  
 61 of DMTF.

62 Documents under the control of DMTF in whatever form shall be retained according to the DMTF Record  
 63 Retention Schedule (see Table 1). Destruction shall mean any of deletion, recycling, or discard. Secure  
 64 destruction shall mean any of incineration, shredding, or secure erasure as appropriate to the storage  
 65 media type. DMTF may or may not destroy or securely destroy nondefinitive or duplicate copies at any  
 66 time.

67 DMTF management will, under guidance of DMTF counsel, circulate staff communications directing the  
 68 suspension of any destruction of paper or electronic documents when appropriate, relevant to any  
 69 ongoing or anticipated government investigations, proceedings, or litigation; or when DMTF has received  
 70 a mandatory order to produce information. Thereafter, routine document destruction can only resume with  
 71 approval of DMTF counsel.

72 DMTF staff, under the direction of the Executive Director, will execute this policy as s/he instructs.

73 A one-time review of all document types will be conducted before September 2015 to identify those  
 74 records that should have already been destroyed and to implement a procedure by which timely  
 75 document destruction can be accomplished.

## 76 2 DMTF record retention schedule

77 "Indefinite" means that records are never destroyed and that measures are in place to avoid accidental or  
 78 attempted deliberate destruction.

79 "x Years" means that records MAY be destroyed x years after the most recent modification or amendment  
 80 to the record and SHOULD be destroyed as soon thereafter as is administratively feasible.

81 All references refer to records maintained by DMTF and not those that may be retained by third parties.

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**Table 1 – DMTF record retention schedule**

DOCUMENT CATEGORIES		
DOCUMENTS	PERIOD OF RETENTION	SECURE DESTRUCTION
<b>CORPORATE GOVERNANCE</b>		
Amendments	Indefinite	
Annual Reports	Indefinite	
Articles of Incorporation	Indefinite	

<b>DOCUMENT CATEGORIES</b>			
	IRS Form 1023 and Letter of Determination	Indefinite	
	Bylaws, Charter, Minute Books	Indefinite	
	Board Policies	Indefinite	
	Board Meeting Minutes and Resolutions	Indefinite	
	Contracts – After Expiration or Termination	Indefinite	
	Insurance Policies	Indefinite	
	Insurance Records: Accidents, Claims, etc.	Indefinite	
	Leases – Premises and Real Property	Indefinite	
	Leases – Equipment and Personal Property	Indefinite	
	Licenses – All categories of Intellectual Property, including patents, copyrights, trademarks, trade secrets, separately conveyed or embodied in technical data, software, and know-how	Indefinite	
	Legal and Tax Correspondence	Indefinite	
	Copyrights, Patents, Trademark Registrations	Indefinite	
	Deeds, Mortgages, and Easements in Force	Indefinite	
	Memoranda of Understanding	Indefinite	
<b>AUDIT/TAX</b>			
	IRS Form 990	Indefinite	
	Annual Tax Filings (State and Other Required Filings)	Indefinite	
	Tax Returns and Working Papers	Indefinite	
	Audit Report and Financial Statements	Indefinite	
	Monthly Operations Reports	Indefinite	
	IRS Form 1099 (Fees Paid to Professionals)	7 Years	Required
	W-2 Statements, Payroll Tax Returns	7 Years	Required
<b>FINANCIAL RECORDS</b>			
	Chart of Accounts	Indefinite	
	Accounting Policies and Procedures	Indefinite	
	General Ledgers and Journal Entries	Indefinite	
	Annual Trial Balances	Indefinite	
	Capital Stock and Bond Records	Indefinite	

<b>DOCUMENT CATEGORIES</b>			
	Checks for Taxes, Capital Purchases. Important Contracts	Indefinite	
	Depreciation Schedules	Indefinite	
	Contracts and Agreements in Force	Indefinite	
	Contracted Staff Contracts and Renewals	Indefinite	
	Sponsorship and Alliance Agreements	7 Years	
	Donations and Donor Acknowledgements	Indefinite	
<b>ACCOUNTING RECORDS</b>			
	Payroll Registers	Indefinite	
	Accounts Payables Ledgers	7 Years	
	Vouchers for Payments to Vendors, Employees, etc.	7 Years	
	Vendor Contracts	7 Years	
	Purchasing Correspondence, Purchase Orders	7 Years	
	Expense Reports	7 Years	
	Credit Card receipts	3 Years	
	Accounts Receivables Ledgers	7 Years	
	Invoices and Other Sales Records	7 Years	
	Cash Receipt Records	7 Years	
	Deposit Slips/Cancelled Checks	7 Years	
	Checks Other Than Those Described Above	7 Years	
	Bank Reconciliations	3 Years	
	Bank Statements	10 Years	
<b>PERSONNEL INFORMATION</b>			
	Employee Handbook	Indefinite	
	Employee Offer Letters	Indefinite	
	Employee Personnel Files	7 Years	Required
	Job Applications and Pre-employment Background Checks for non-hires	3 Years	Required
	Job Applications and Pre-employment Background Checks for hired employees	7 Years after termination	Required
	Personnel Files, Terminated	7 Years after termination	Required
	Payroll Records, Timesheets	7 Years	Required

<b>DOCUMENT CATEGORIES</b>			
	Employee Performance Reviews, Documentation	7 Years	Required
	Job Descriptions and Salary Ranges	7 Years	Required
	Employee Withholding Tax Statements	7 Years	Required
	Employee Disability Benefits Records	7 Years	Required
	Employee Benefit Enrollments	7 Years	Required
	Workers Compensation Records	7 Years	Required
<b>MANAGEMENT PLANS AND PROCEDURES</b>			
	Strategic Plans	7 Years	
	Disaster Recovery Plans	7 Years	
<b>GENERAL</b>			
	General Correspondence including Email	Same duration as related category; otherwise, no sooner than 2 Years	
	Requisitions	2 Years	
<b>TECHNICAL BODY and MEMBERSHIP RECORDS</b>			
	Membership Agreements	Indefinite	
	Charters and Rules of Procedure	Indefinite	
	Member Participation Records	Indefinite	
	Email	Indefinite	
	Documents	Indefinite	
	Meeting Minutes	Indefinite	
	Approved Standards	Indefinite	
	Voting Records	Indefinite	
	Public Comments	Indefinite	
	All Work In Progress Information, draft Documents, and Materials	Indefinite	
	IPR Declarations and Statements	Indefinite	

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**ANNEX A**  
**(informative)**

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**Change log**

Version	Date	Description
1.0.0	2016-01-20	

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