

## Revised Policy on Essential Documents

### **EX-Ls' Policy on Essential Documents**

**July 13, 2017**

**[Approved at EX-Ls Board Meeting of January 8, 2009;**

**Amended January 8, 2015]**

**Amended October 12, 2017**

#### **Policy**

It is the policy of the EX-Ls to retain certain essential documents for the purposes of recording important decisions and activities, meeting fiduciary requirements, and providing an historical record of the evolution of the organization.

#### **Essential Documents**

Essential documents are defined as:

- Annual Document Checklist
- By-laws and Policies
- Minutes of Board of Directors' meetings
- Board of Directors' Annual Roster
- Annual Directory of members
- Quarterly newsletters and any special editions
- Cumulative List of luncheon speakers and topics
- Cumulative List of luncheon venues and arrangements
- Bank statements
- Year-end financial reports
- Cumulative list of charitable contributions
- Annual EX-Ls Presidents' Letter to the LBNL Director
- Key official correspondence between the EX-Ls and LBNL, between the EX-Ls and the UC Berkeley Retirement Center (UCBRC), and between LBNL and UCB and/or the UCBRC regarding the EX-Ls.
- Annual UC Insurance Renewal Questionnaire

#### **Retention**

With the exception of bank statements and year-end financial reports, which are retained for 7 years, all essential documents are maintained permanently in securely archived electronic (EC) form or temporarily in hard copy (HC) form.

#### **Responsibility**

The UCBRC has provided a Google Drive storage site for electronic records. The website address appears at the end of this section. This storage site is ultimately sponsored by UC Berkeley. A folder has been created for each document listed above. Documents that are not created in electronic format will be given to the UCBRC by the responsible Officer to be scanned and then uploaded to the site. All other documents will be uploaded directly by the responsible

Officer as defined in the accompanying chart. Access to the storage site is limited to Officers namely: President, First Vice President, Second Vice President, Secretary, Treasurer, Membership Coordinator, Activities Coordinator, and Newsletter Editor only for the duration of their respective terms. UCBRC will retain administrative access in order to manage the site. The Secretary is responsible for making an annual check with all of the essential document custodians to ensure that all records are accounted for and properly updated. This check is normally done in January and may be done at the January Board of Directors meeting or by email. A form has been created for this purpose.

The Google Drive address is:

<https://accounts.google.com/signin/v2/identifier?service=wise&passive=1209600&continue=https%3A%2F%2Fdrive.google.com%2Fdrive%2Ffolders%2F0B2XR0hZQFW13RGV3Y05TX2QxLWs&followup=https%3A%2F%2Fdrive.google.com%2Fdrive%2Ffolders%2F0B2XR0hZQFW13RGV3Y05TX2QxLWs&flowName=GlifWebSignIn&flowEntry=ServiceLogin>

Initial transfer of documents to the new site will be completed during January 2018.

### Document Retention Chart

<b>DOCUMENT</b>	<b>CUSTODIAN AND FORM</b>	<b>UPLOADER/UPDATER</b>
Annual Doc Checklist	UCBRC - EC	Secretary - Annual
By-Laws and Policies	UCBRC - EC (Website)	Secretary - As Required
Minutes Board of Dir. Mtgs.	UCBRC - EC	Secretary - Quarterly
Board of Dir. Annual Roster	UCBRC - EC (Website)	Secretary - Annually
Annual Directory of Members	UCBRC - EC	Member Coord. - Annually
Quarterly Newsletters/Special Editions	UCBRC - EC (Website)	Newsletter Ed. - Quarterly
Cumulative List of Luncheon Speakers and Topics	UCBRC - EC	1st VP - Quarterly
Cumulative List of Luncheon Venues and Arrangements	UCBRC - EC	Activities Coord. - Quarterly
Bank Statements	Treasurer - HC for 1 year UCBRC - EC for 6 years	Treasurer
Year End Financial Report	UCBRC - EC	Treasurer - Annually
Cumulative Charitable Contribution List	UCBRC - EC	Treasurer - As Required
Annual EX-Ls President's Letter to the LBNL Director	UCBRC - EC	President - Annually
Key official Correspondence	UCBRC - EC	President - As Required
Annual UC Insurance Renewal Questionnaire`	UCBRC - EC	President - Annually

UCBRC - UC Berkeley Retirement Center  
Website - EX-Ls official website