

Records Retention Scheduling and Procedures

As a professional organization that provides training for certified drinking water and wastewater system operators and lab analyst and who is accountable to its membership, it is imperative that our operations adhere to the highest standard possible and that the monies bestowed upon us be documented and safeguarded for the purpose of fulfilling the Association's mission. As such, it is essential that records be maintained by the Association that document this effort as well.

Outlined below are the categories of records that must be kept at the State and Chapter level to fulfill our primary responsibilities:

1. All official KWWOA Treasurer reports – All reports shall be retained a minimum of seven years in order by year, utilizing the categories below:

Income

- I. Dues
 - i. Annual Chapter Dues
 - ii. Associate Membership Dues
 - iii. Miscellaneous (i.e. website banner, newsletter advertisements, Chapter reimbursements to State, etc.)
- II. Annual Conference
 - i. Conference Registrations
 - ii. Conference Sponsorships
 - iii. Conference Booths
- III. Chapter Training
 - i. Event Registration (i.e. booths, golf registrations, etc.)
 - ii. Sponsorships (i.e. golf hole purchases, meals sponsorships, etc.)
 - iii. Chapter Training Registrations

Expense

- I. Administration & General
 - i. Staff Salaries (Member Services Director and Treasurer)
 - ii. Travel Expense
 - iii. Office Equipment
 - iv. Office Expense
 - v. Insurance
 - vi. Utilities (i.e. Cell phone)
 - vii. PayPal/Bank Fees
 - viii. Postage
 - ix. Legal/Professional Service Fees (i.e. CPA)
 - x. Refunds
 - xi. Board Meeting Expenses
 - xii. Scholarships

- xiii. Website Fees (i.e. hosting, design, revisions, etc.)
 - xiv. Newsletter Expense (2/3 of January and all of July)
 - xv. Miscellaneous
- II. Annual Conference Expense
- i. Conference Center Rental
 - ii. Decorations
 - iii. Meals
 - iv. Pipe & Drape
 - v. Contract Staffing (i.e. speakers, workers, etc.)
 - vi. Per Diem Expenses for Staff
 - vii. Entertainment (for Conference events)
 - viii. Promotional Items
 - ix. Miscellaneous
- III. Chapter Dues
- i. Transfer of Chapter Dues
 - ii. Transfer of Event Income (i.e. training registrations, sponsorships, golf registrations, etc.)
- IV. Promotion
- i. Travel Expenses (transportation only)
 - ii. Meals
 - iii. Event Registration
 - iv. Overnight Expense (i.e. hotel, parking, internet)
 - v. Advertising
 - vi. Promotional items
 - vii. Brochures
2. Official KWWOA minutes – All minutes shall be retained permanently, in order by year; this document should reference the date of the meeting, the individuals present, their position within the organization, the items discussed, motions made and the result of any votes taken.
3. Incorporation documents shall be retained permanently.
4. Bylaws - A copy of all bylaws shall be retained permanently.
5. Tax Returns and all supporting documents (for example, 1099's, receipts, and expense documents), shall be retained for seven years.
6. Bank records shall be retained for seven years and then destroyed.
7. Standard Operating Procedures – Retain one dated copy of the current SOP. Destroy excess copies when no longer needed.
8. Staff employment contracts shall be retained for 15 years after completion or termination and audit and then be destroyed,
9. Equipment inventories shall include a description of the item, year purchased, identifying serial number(s) with custodian's name, physical address and phone number. These shall be retained for three years after an update is completed and then destroyed.

10. Training Documents by Chapter by year - The Division of Compliance Assistance suggested that we hold hard copies of all training related documents for two years after the date the training could be used for renewal purposes (license does not terminate until December 31 of the renewal year). Outlined below is the regulatory requirement for each category and an example of how long the training should be maintained in hard copy form:

Wastewater Certificate Renewals - The certification(s) must be renewed by June 30th of odd numbered years and the training utilized for the application, can be earned within two years prior to the renewal application date. Renewals do not open up till January of the renewal year, so the training could date back to January of the previous renewal period. For example, for the 2015 renewal year, any training which was approved for wastewater continuing education could go back to January 2013. Since licenses could be renewed through the end of the year, hard copies of the records should be held till December 31, 2017 in this example.

Drinking water Certificate Renewals - The certification(s) must be renewed by June 30th of even numbered years and the training submitted, must be earned within the prior 2-year renewal period. As a result, any drinking water training approved from July 1 of the prior renewal period could be utilized for renewal purposes. For example, for the 2014 renewal year, any training which was approved from July 1, 2012 forward could be utilized as continuing education training. Hard copies of the records should be held till December 31, 2016.

For each class, you must capture all of the information below with the exception of items 2 & 6. Items 2 & 6 are suggested as they are a historical in nature and could be a source of information for future officers. It is ultimately up to the Chapter as to whether this information is copied into the file/disk. When scanning your documents to disk, use the same naming conventions below for consistency sake. Screen shot examples are also provided.

- Initial Training Folder set up - Suggest that you create a folder by year.

- Class Listing - Create a folder for each class and name it by the location of the class and date it occurred.

- Training Folder Content - See list below:

1. Training Application (DCAs) - Label as DCA Training Application DW, DCA Training Application WW or just DCA Training Application if it covered both. There could be two applications filed for the class and if so, scan both. The training application attachments which contain the course learning objectives, timed agenda, course description, instructor bios, and addendums (filed if a speaker changed after approval), should all be included in this subfolder.

2. Training Brochure

3. Sign-In Sheets
4. Stamp Sheets - Make sure you copy both sides, if necessary, and add the individuals name to the second sheet.
5. DCA approval letter (initial and program approval revisions)
6. Exhibit/Sponsor/Golf Scramble Information
7. DCA Activity Report (electronic or hard copy submittals) - While each Chapter Secretary should have the ability to submit these records electronically to DCA, you must also print out a hard copy of the full document and the Request ID, in case the person who entered the data ceases to be a KWWOA officer.

We recognize that the Chapters have various members who coordinate their classes, however, the master records should ultimately be held by the Chapter Secretary. When scanning the documents, they should all be placed on one disk for the Chapter in the format specified by the State Board.

Periodically, each Chapter will be asked to provide their records to the State Board via disk which will act as a master copy should questions arise on a particular document.

11. Official Correspondence (i.e. grant related items, regulatory comments, etc.) submitted by the Association should be maintained permanently.
12. Insurance policies shall be retained for five years after cancellation or expiration.
13. Incident reports shall detail the situation that occurred, including date, time, location, statement of what occurred, witnesses, witness statements, etc. and be retained permanently.