

Heritage & Opportunity Alliance, Inc.
HERITAGE & OPPORTUNITY ALLIANCE, INC.

RECORDS RETENTION AND DOCUMENT CONTROL POLICY

Preserving Heritage. Building Opportunity. Organizing Community Engagement.

Policy Number	HOA-POL-003
Effective Date	Upon Board Adoption
Approved By	Board of Directors
Applies To	Directors, officers, committees, advisory members, volunteers, employees, contractors, partners, and program participants as applicable

Purpose

This Policy establishes records retention, storage, access, and document-control standards for Heritage & Opportunity Alliance, Inc..

Scope

This Policy applies to corporate records, Board records, committee records, advisory records, financial records, tax records, grant records, program records, resident information, youth records, volunteer files, partnership documents, public communications, releases, reports, and legal documents.

Official Records

The Secretary is the custodian of corporate records unless the Board assigns another records officer. The Treasurer is custodian of financial records, subject to Board oversight.

Committees, advisory groups, programs, and volunteers shall submit official records to the Secretary or designated Records Lead. No committee or individual may keep the only copy of official records.

Retention Schedule

Permanent records include Articles, Bylaws, IRS determination letter, EIN letter, Board minutes, resolutions, major contracts, conflict disclosures, Form 1023 or 1023-EZ materials, tax filings, audit reports, property records, trademark records, major grant awards, and dissolution records.

Seven-year records include bank statements, accounting records, receipts, invoices, payroll records, reimbursements, grant expenditure files, sponsorship records, fundraising records, insurance records, and financial reports unless a longer period is required by law or grant terms.

Three-year records include routine program reports, event sign-ins, volunteer applications, general correspondence, non-sensitive surveys, outreach logs, meeting agendas, and routine partner contact logs unless connected to grants, incidents, claims, youth safety, or restricted funds.

Youth safety, incident, insurance, legal, facility, injury, complaint, or risk-related records shall be retained for at least seven years or longer if required by law, insurance, grant terms, or Board direction.

Document Control

Documents shall be named, dated, and stored in a consistent system. Final Board-approved documents shall be clearly marked as adopted, effective, and amended if revised.

Drafts shall not be circulated as final policy. Board-approved versions control over informal drafts, emails, text messages, or working notes.

Confidential Records

Resident stories, youth records, health-related information, property concerns, financial hardship information, family information, volunteer screening information, and sensitive partner communications shall be stored securely and accessed only by authorized persons with a need to know.

Destruction and Holds

Records scheduled for destruction may be destroyed only in a secure manner. No record may be destroyed if it is subject to a legal hold, audit, public dispute, investigation, grant review, insurance claim, youth-safety matter, or Board instruction.

Electronic Records

Electronic records may be maintained in secure cloud storage, password-protected drives, or approved organizational systems. Personal devices should not be the only storage location for official records.

Access

Directors may inspect corporate records as allowed by law and organizational policy. Committees, volunteers, and advisory members may access only records needed for their assigned role.

Records

The Secretary, Treasurer, or other Board-authorized records officer shall maintain records created under this Policy according to the Records Retention and Document Control Policy.

Records may include approvals, disclosures, invoices, receipts, reports, correspondence, minutes, incident reports, releases, agreements, restricted-fund logs, or other supporting documents.

Violations

Violations of this Policy may result in corrective action, reassignment, removal from a committee or volunteer role, termination of a contract, repayment, report to the Board, or other action permitted by law and organizational policy.

Retaliation against a person who raises a good-faith concern is prohibited.

Review and Amendment

This Policy may be reviewed at least annually and may be amended by the Board of Directors. The Board may adopt more detailed procedures, forms, checklists, and approval schedules consistent with this Policy.

Board Adoption

This Policy is adopted by the Board of Directors and remains in effect until amended, replaced, or rescinded by the Board.

Board Chair / President	Secretary
Name: _____	Name: _____
Signature: _____	Signature: _____
Date: _____	Date: _____