

## **American Institute of Constructors**

### **Constructor Certification Commission Policy and Procedure No. 5.2**

#### **Documentation and Document Control**

Policy – The Commission will identify, retain, store, and dispose its documents and records in an appropriate, legally sound and orderly manner.

Responsibility – Constructor Certification Commission

Reference Commission Documents – Commission Document No. 1 - Operating Procedures;  
Balance of Documents – 2 – 85 - see Appendix B - List of Formal Documents

Procedure – The following procedure is to be followed in identifying, retaining, storing and disposing of its documents and records.

#### **General Information**

The basis of all Commission actions, including those of its members, volunteers and Contractor staff, are its Operating Procedures (Commission Document No. 1), which serves as its bylaws, and Policies and Procedures and associated documents (Commission Documents No. 2 – 85), a list of which can be found in Appendix B of the Commission's Policies and Procedures. In addition, the above-mentioned foundational documents, the Commission also develops and/or processes many other documents and records as listed below in this policy. For the purpose of this policy, documents are created by planning what needs to be done and records are created when something is done. Documents can change and records don't change.

#### **Developing and Updating of Documents and Records**

1. It is the responsibility of the Commission to develop and update all of its foundational and other documents . The Commission can and does delegate the creation of records, to others in the organization as so noted in its foundational documents with the ultimate approval resting with the Commission. All Commission documents are updated when any changes impacting them are approved by the Commission. Upon approving any changes in Commission processes, the Secretary of the Commission is responsible for making the needed revision(s) to the appropriate document(s) and present them to the Commission members for a 30-day review period. Following the 30 day period, the Commission will formally consider the respective revision(s) at its next monthly meeting. If not approved, further appropriate changes will be made by the Secretary and sent to the Commission members for consideration at their next monthly meeting.
2. In terms of identification of its foundational documents, the Commission's Operating Procedures has its own unique document number. In addition each Policy has its own unique number as do each of the related documents. Each Policy and Procedure and

related document(s) has its title at the top of every page and the date of the last revision on the last page of the respective Policy and Document. Other Commission documents developed and utilized by its Contractors all have the Commission and respective document name on the first page and the date of the last revision on the last page as appropriate to the document.

3. Commission Contractors are expected to utilize documentation practices as trained and are required to comply with the documentation standards outlined in this policy. Failure to do so could result in disciplinary action, up to and including termination of contract.
4. The Commission Certification Manager will maintain all of the Commission's documents and records electronically or in local, damage-proof storage for the duration of the time periods provided for in this policy. Once any such time period is complete, the documents and/or records are to be destroyed in accordance with this policy.
5. Documents and records maintained solely in electronic format will be scanned and retained in electronic folders on the Commission's network in accordance with the time frames noted below. All electronic documents and records will be password protected and will be physically stored on separate network servers from their original server, with access only provided to the Commission approved individuals as noted in this Policy. Daily backups will be performed and the documents and records will be stored off site in a secured warehouse that has been approved by the Commission.

### **Document and Record Retention**

1. Except as otherwise indicated, documents shall be retained for the number of years indicated in this section below.
2. Irrespective of the retention periods specified, upon (i) receiving notice of a lawsuit, government investigation, or other legal action against or involving the Commission, or (ii) learning of circumstances likely to give rise to such an action, proceeding or investigation, all documents in any way relating to such matter shall be preserved and safeguarded.
3. All documents and records both printed and or electronic are the property of the Certification Commission regardless where they are stored or used. The electronic records will be maintained in a Commission approved standard commercial format. If the hardware and/or software used to store the documents and records is proposed to be changed it must first be approved by the Commission.

### **Complete Documents and Records**

Documents described in this section are categorized as 'Complete Documents and Records' and must be preserved in their original form to the extent possible. The Commission Secretary will ensure that the complete original documents, or legally verifiable facsimiles of these documents, are retained for the periods specified.

### ***General Organizational Documents and Records***

Statements Regarding Commission Legal Status and Amendments

Permanently

Operating Procedures	Permanently
Policies and Procedures and Related Documents	Permanently
Meeting Minutes	Permanently
Patents, Trademark Registrations, Copyright Registrations	Permanently
Property Records	Permanently
Certification Records	Permanently
Election Ballots	5 years
Contracts (not otherwise specified herein)	5 years

***Accounting, Finance and Tax Records***

Income Tax Returns and Filings	Permanently
Audit Reports of Accountants	Permanently
Cash Books	Permanently
Charts of Accounts	Permanently
Federal and State Tax Bills and Statements	7 years
Schedules, Ledgers and Other Documentation for Financial Statements	7 years

***Bank Records***

Bank reconciliations	6 years
Deposit and withdrawal records	7 years
Bank account statements	7 years
Cancelled checks	7 years
Check registers	7 years
Accounts Payable and Receivable	7 years
End-of-Year Financial Statements	Permanently
Budget Data	7 years
Expense Accounts and Approvals	7 years
Invoices after resolution	7 years
Warranty Claims/Claims of Damage	7 years

***Commission Member, Volunteer and Contractor Staff Documents and Records***

Position Descriptions, Personnel and Corresponding Files	Until superseded plus 3 years
Request for Proposals	6 years after closure
Contracts and Contract Addenda	10 years after closure
Performance evaluations, appraisals, reviews and supporting documentation	6 years
Documents Related to Compensation and Costs	6 years
ADA interactive process and disability accommodations	6 years
Discrimination or harassment complaints	6 years after closure
Records pertaining to investigations regarding complaints	6 years after closure
Records pertaining to discipline and adverse actions	6 years
Termination	6 years
Resignation	6 years
Retirement	6 years

Accident Reports 10 years

***Insurance Documents and Records***

Insurance policies, amendments, endorsements, and certificates Permanently  
Audits or adjustments 2 years after final adjustment

***Other Correspondence***

E-mail and Any Files Attached Thereto (unless other provisions of this policy apply) 1 year  
Routine Correspondence (no acknowledgment or follow-up required) 1 year  
General Inquiries and Replies Which Complete a Cycle of Correspondence 1 year  
Correspondence Requesting Specific Action 1 year  
Correspondence Pertaining to Inconsequential Subject Matters 1 year  
Chronological Correspondence Files 1 year  
Letters Constituting All or Part of a Contract Contract + 3 Years  
Correspondence Important in Clarification of Certain Points of a Contract Contract + 3 Years  
Correspondence that may Contract Disprove Liability in Court Contract + 3 Years  
Correspondence that Supports Commission Rights under Contract Contract + 3 Years

***Electronic Media***

Storage media used for routine backups 1 month  
Web site (archive version and current version) 3 years  
Web site user records 1 year  
Source code 5 Years  
Copyrighted or protectable trade secrets Life of the property  
Databases (not including the data contained therein) 2 years  
Executable Software 5 years from cessation of use

***Marketing Materials*** - Archival Copy of Printed Advertisements Permanently

**Incidental Documents and Records**

Documents described in this section are categorized as ‘Incidental Documents and Records.’ These records do not need to be preserved in their original form, provided that all relevant information is captured, recorded and preserved. The Commission Secretary will ensure that the critical transactional information contained in these documents is preserved for the period specified. The original copies of these documents and their facsimiles do not need to be preserved, and may be destroyed as soon as the Commission Secretary can be reasonably assured that the relevant information is recorded.

Examination Applications 8 years  
Routine Invoices 3 years  
Routine Payments Records 7 years  
Audit and CPD Review Submissions 4 Years

Examination Site Applications	3 Years
Statistical Information and Reports	7 Years
Requests for Appeals	7 Years
Decisions Regarding Appeals	7 Years

**Distribution of Documents and Records**

1. The Commission will make the final determination of which documents and records are accessible to Commission members, volunteers and Contractors. The Commission will also determine which documents and records are considered confidential and which are not. And for those confidential documents, and records those individuals provided access to them, will have to sign a Confidentiality Statement (Commission Document No. 25). In addition, the Commission will consider requests for access to its confidential documents upon the receipt of its Information Request Form – Document No. 53.

<b>General Organizational Documents &amp; Records</b>	Confidential	Access	Location
Statements Regarding Commission Legal Status and Amendments		Public, Commission, Staff	National Office
Operating Procedures		Public, Commission, Staff	National Office, Public Website
Policies and Procedures and Related Documents		Public, Commission, Staff	National Office, Public Website
Meeting Minutes		Public, Commission, Staff	National Office, Public Website
Patents, Trademark Registrations, Copyright Registrations		Public, Commission, Staff	
Property Records		Public, Commission, Staff	
Certification Records	X	Commission, Staff, Released upon request	National Office
Election Ballots		Public, Commission, Staff	
Contracts (not otherwise specified herein)		Commission, Staff	National Office

<b>Accounting, Finance, and Tax Records</b>			
Income Tax Returns and Filings		Commission, Staff, Release upon request	National Office
Audit Reports of Accountants	X	Commission, Staff, Release upon request	National Office
Cash Books	X	Commission, Staff, Release upon request	National Office
Chart of Accounts	X	Commission, Staff, Release upon request	National Office
Federal and State Tax Bills and Statements	X	Commission, Staff, Release upon request	National Office
Schedules, Ledgers and other Documentation for Financial Statements	X	Commission, Staff, Release upon request	National Office
<b>Bank Records</b>			
Bank Reconciliations	X	Commission, Staff	National Office
Deposits and withdrawal records	X	Commission, Staff	National Office
Bank Account Statements	X	Commission, Staff	National Office
Cancelled Checks	X	Commission, Staff	National Office
Check Registers	X	Commission, Staff	National Office
Accounts payable and Receivable	X	Commission, Staff	National Office
End of Year Financial Statements	X	Commission, Staff	National Office
Budget Data	X	Commission, Staff	National Office
Expense Accounts and Approvals	X	Commission, Staff	National Office
Invoices after Resolution	X	Commission, Staff	National Office
Warranty Claims/Claims of Damage	X	Commission, Staff	National Office

<b>Commission Member, Volunteer, and Contractor Staff Documents &amp; Records</b>			
Position Descriptions, Personnel and Corresponding Files		Public, Commission, Staff	National Office
Requests for Proposals		Public, Commission, Staff	National Office
Contracts and Contract Addenda	X	Commission, Staff	National Office
Performance evaluations, appraisals, reviews, and sorting documentation	X	Commission, Staff	National Office
Documents related to compensation and costs	X	Commission, Staff	National Office
ADA interactive process and disability accommodations		Public, Commission, Staff	National Office
Discrimination or harassment complaints	X	Commission, Staff	National Office
Records pertaining to investigations regarding complaints	X	Commission, Staff	National Office
Records pertaining to discipline and adverse actions	X	Commission, Staff	National Office
Termination	X	Commission, Staff	National Office
Resignation	X	Commission, Staff	National Office
Retirement	X	Commission, Staff	National Office
Accident Reports	X	Commission, Staff	National Office
<b>Insurance Documents &amp; Records</b>			
Insurance Policies, amendments, endorsements, and certificates		Public, Commission, Staff	National Office
Audits or adjustments			
<b>Other Correspondence</b>			
Email and any files attached thereto (unless other provisions of this policy apply)	X	Commission, Staff	National Office
Routine Correspondence (no acknowledgement or follow up required)	X	Commission, Staff	National Office

General inquiries and replies with complete cycle of correspondence	X	Commission, Staff	National Office
Correspondence requesting specific action	X	Commission, Staff	National Office
Correspondence pertaining to Inconsequential subject matters	X	Commission, Staff	National Office
Chronological correspondence files	X	Commission, Staff	National Office
Letters constituting all or part of a contract	X	Commission, Staff	National Office
Correspondence Important in Clarification of Certain Points of a Contract	X	Commission, Staff	National Office
Correspondence that may Contract Disprove Liability in Court	X	Commission, Staff	National Office
Correspondence that supports Commission Rights under Contract	X	Commission, Staff	National Office
<b>Electronic Media</b>			
Storage media used for routine backups	X	Commission, Staff, Website Vendor	National Office, Website Vendor
Web site (archive version and current version)		Public, Commission, Staff, Website Vendor	National Office, Website Vendor
Web site user records	X	Commission, Staff	National Office
Source code	X	Commission, Staff, Web Vendor	Website Vendor
Copyrighted or protectable trade secrets	X	Commission, Staff	National Office
Databases (not including the data contained therein)	X	Commission, Staff	National Office
Executable Software	X	Commission Staff	National Office
<b>Marketing Materials</b>			
Archival Copy of Printed Advertisements		Public, Commission Staff	National Office



<b>Incidental Records</b>			
Examination Applications	X	Commission, Staff	National Office
Routine Invoices	X	Commission, Staff	National Office
Routine Payments Records	X	Commission, Staff	National Office
Audit and CPD Review Submissions	X	Commission, Staff	National Office
Examination Site Applicants	X	Commission, Staff	National Office
Statistical Information and Reports	X	Commission, Staff	National Office
Requests for Appeals	X	Commission, Staff	National Office
Decisions Regarding Appeals	X	Commission, Staff	National Office

Incidental records do not need to be preserved in their original form, provided that all relevant information is captured, recorded and preserved. The Commission Secretary will ensure that the critical transactional information contained in these records is preserved for the period specified. The original copies of these records and their facsimiles do not need to be preserved, and may be destroyed as soon as the Commission Secretary can be reasonably assured that the relevant information is recorded.

### **Disposal of Documents and Records**

1. At its annual meeting, the Certification Manager will present a list of documents and records that are scheduled to be destroyed. The Commission will review the list and approve or not approval their destruction, and if approved, the destruction shall take place within 30 days in accordance with this Policy.
2. No Commission member, volunteer or Contractor staff member shall knowingly destroy a document or record with the intent to obstruct or influence the investigation or proper administration of any matter within the jurisdiction of any government department or agency or in relation to or contemplation of any such matter.
3. The Commission Chair shall be responsible for authorizing, overseeing, and ensuring that documents and records are destroyed in accordance with this policy. Destruction of paper files will be performed by a Commission approved independent outside service for shredding and disposal. Disposal of electronic files will be performed by the Commission Chair or his or her designee through the use of a scrubbing program. Disposal of documents, records or electronic media into general trash service is strictly prohibited.
4. To verify that the documents and records were properly disposed of, the Certification Manager will maintain a log (Commission Document No. 54 – Document

Disposal Log) indicating which documents and records were disposed, by whom, how and on what date. The log will be kept secured in the Commission files maintained by the Commission Management Contractor.

**Revision History**

Last Revision: 04/25/2022