



A Louisiana-based 501(c)(3) Non-profit Organization
TIN: 46-2142054

RECORDS RETENTION AND DESTRUCTION POLICY

ARTICLE I PURPOSE

Section I.01 The purpose of this Records Retention and Destruction Policy (this "**Policy**") is to protect the interests of FLEUR DE QUE (the "**Non-Profit**") by establishing guidelines, procedures, and requirements for the:

- (a) Retention and maintenance of any Records (as defined in Section 2.01) necessary for the Non-Profit to achieve its mission and comply with applicable law.
- (b) Destruction of Records that do not need to be or no longer need to be retained.
- (c) Non-Profit's board of directors, officers, employees, and volunteers[, and other parties that may be identified by the Administrator from time to time] (collectively, the "**Constituents**") to understand their responsibilities concerning Record retention and destruction.

Section I.02 Federal and/or Louisiana law require the Non-Profit to retain certain Records, usually for a specific amount of time.

- (a) Generally, Records contain information that:
 - (i) Serves as the Non-Profit's organizational memory; and/or
 - (ii) Has enduring business value (for example, it provides a record of a transaction, evidences the Non-Profit's rights or obligations, protects the Non-Profit's legal interests, or ensures operational continuity).
- (b) The accidental or intentional destruction of these Records during the retention periods specified in this Policy could result in the following consequences for the Non-Profit and/or its Constituents:
 - (i) Fines and penalties;

- (ii) Loss of legal rights and privileges that the Records may evidence and help preserve;
- (iii) Obstruction of justice charges;
- (iv) Inference of spoliation of evidence and spoliation tort claims;
- (v) Contempt of court charges;
- (vi) Serious disadvantages in litigation; and
- (vii) Reputational damage.

Section I.03 This Policy is in accordance with the Sarbanes-Oxley Act of 2002, under which it is a crime to change, conceal, falsify, or destroy any record with the intent to impede or obstruct any official or government proceeding. Therefore, this Policy is part of an organization-wide system for the review, retention, and destruction of Records that the Non-Profit creates or receives in the course of its operations.

ARTICLE II TYPES OF RECORDS

Section II.01 Records. A "**Record**" is any type of record, file, document, sample, and other form of information created, received, or transmitted in the ordinary course of the Non-Profit's operations, regardless of physical format[, such as those listed in the Records Retention Schedule attached as Appendix A to this Policy (the "**Retention Schedule**")]. [Records may include:

- Appointment book and calendar entries.
- Audio and video recordings.
- Beneficiary information.
- Computer programs.
- Contracts.
- Electronic files.
- Emails.
- Employee and director handbooks.
- Fundraising and donation records, including donor information.
- Grant applications.
- Handwritten notes.
- Invoices.
- Letters and other correspondence.
- Memory in cell phones, tablets, and PDAs.
- Online postings on social media platforms and websites.
- Performance reviews.
- Test samples.

- Voicemails.]

Section II.02 Disposable Information.

(a) **"Disposable Information"** is information in any form that would normally be a Record, except that it:

- (i) Serves a temporary useful purpose or no purpose;
- (ii) Is no longer required for the operation of the Non-Profit; and
- (iii) Is not required by law to be retained by the Non-Profit.

(b) Disposable Information may be safely destroyed without violating this Policy. Examples may include:

- (i) Duplicates of original documents that have not been annotated;
- (ii) Preliminary drafts of letters, memoranda, reports, worksheets, and informal notes that do not represent significant steps or decisions in the preparation of an official record;
- (iii) Books, periodicals, manuals, training binders, and other printed materials obtained from sources outside of the Non-Profit and retained primarily for reference purposes; and
- (iv) Spam and junk mail.

Section II.03 Confidential Information Belonging to Others. Any confidential information that a Constituent may have obtained from a source outside of the Non-Profit, such as a previous employer or through outside volunteer activities, must not, so long as such information remains confidential, be disclosed or used by the Non-Profit. Unsolicited confidential information submitted to the Non-Profit should be refused, returned to the sender where possible, and deleted if received in an electronic format.

ARTICLE III MANDATORY COMPLIANCE

Section III.01 Compliance. Each Constituent must comply with this Policy, the Retention Schedule, and any litigation hold communications. Failure to comply with this Policy may subject the Non-Profit and its Constituents to serious civil and/or criminal liability. An employee's failure to comply with this Policy may result in disciplinary sanctions, including suspension or termination.

Section III.02 Reporting Policy Violations. The Non-Profit is committed to enforcing this Policy as it applies to all forms of Records. The effectiveness of the Non-Profit's efforts, however, depends largely on the compliance of its Constituents. If you reasonably suspect that you or someone else may have violated this Policy, you should report the incident immediately to the Administrator of the Policy. If you do not report inappropriate conduct, the Non-Profit may not become aware of a possible violation of this Policy and may not be able to take appropriate corrective action. No one will be subject to, and the Non-Profit prohibits, any form of discipline, reprisal, intimidation, or retaliation for reporting incidents of inappropriate conduct of any kind, pursuing any record destruction claim, or cooperating in related investigations.

ARTICLE IV ADMINISTRATION

Section IV.01 Administrator. The Non-Profit's Treasurer (the "**Administrator**") shall be in charge of the administration of this Policy. The Administrator's responsibilities include:

- (a) Identifying the Records that the Non-Profit must or should retain.
- (b) Determining, after consulting with [the Non-Profit's Legal Department/outside counsel], the proper retention period for each Record type.
- (c) Planning, developing, and prescribing Record retention and disposal policies, systems, standards, and procedures.
- (d) Ensuring this Policy and any retention procedures comply with privacy laws that govern the handling of Records concerning the Non-Profit's employees, volunteers, beneficiaries, and donors.
- (e) Periodically reviewing this Policy and monitoring compliance by Constituents.
- (f) Training Constituents on their obligations under the Policy.
- (g) Modifying the Retention Schedule as needed to comply with changes in law and to add or revise Record categories to reflect changes in the Non-Profit's operations.
- (h) Ensuring that Records created or retained by the Non-Profit's volunteers are returned to the Non-Profit for retention or destruction at the end of each volunteer project.

Section IV.02 Constituents. Each Constituent must acknowledge that the Constituent has received, read, understood, and agrees to comply with this Policy, as described in Section 7.01. Each Constituent shall assist the Administrator, as requested, in the implementation and compliance with this Policy.

Section IV.03 Volunteers. Upon completion of each project, each volunteer shall produce Records as requested by the Administrator. Volunteers shall not be required to independently retain Records identified in the Retention Schedule after the completion of their project.

ARTICLE V HOW TO RETAIN, STORE, AND DESTROY RECORDS

Section V.01 Retention. Any Records that are part of any categories listed in the Retention Schedule must be stored electronically for the amount of time set forth in the Retention Schedule. A Record must not be retained beyond the period set forth in the Retention Schedule unless a valid business reason (or a litigation hold or other special situation) calls for its continued retention. If any Constituent is unsure whether to retain a certain Record, the Constituent should contact the Administrator.

Section V.02 Storage. The Non-Profit's Records must be stored electronically and in a safe, secure, and accessible manner in accordance with this Policy. Any Records, including the Non-Profit's governing documents and financial files, that are essential to the Non-Profit's operations during an emergency, and any

Records requiring permanent retention, must be duplicated and/or backed up at least [FREQUENCY] and maintained [off site [at [ADDRESS]]].

Section V.03 Destruction. The Non-Profit's Treasurer is responsible for the continuing process of identifying Records that have met their required retention period and supervising the destruction process. For example:

- (a) When the retention period for a particular Record expires (as specified in the Retention Schedule), the Administrator maintaining the Record shall destroy the Record in accordance with this Policy.
- (b) Confidential, financial, and personnel-related physical Records must be shredded if possible.
- (c) Non-confidential physical Records may be destroyed by recycling.
- (d) Disposable Information may be discarded or deleted [at the discretion of the user once it has served its temporary useful purpose/after three (3) years if in paper form and after one (1) year if in electronic form].
- (e) Records destruction must stop immediately upon notification that a litigation hold was implemented because the Non-Profit may be involved in a lawsuit or an official investigation, as described in Section 5.04.

Section V.04 Litigation Holds and Other Special Situations. The Non-Profit requires all Constituents to comply fully with the procedures in this Policy and with the Retention Schedule. All Constituents should note the following general exceptions to any stated destruction schedule:

- (a) **Litigation Holds.** If you believe or are informed that the Non-Profit's Records and Disposable Information are relevant to current litigation, potential litigation (that is, a dispute that could result in litigation), a government investigation, audit, or other event (the "**Litigation Hold Records**"), you must preserve and not delete, dispose, destroy, or change those Litigation Hold Records, including emails, until the Administrator determines those Litigation Hold Records are no longer needed. This exception, referred to as a legal hold, replaces any previously or subsequently established destruction schedule for those Litigation Hold Records. If you believe this exception may apply, or have any questions regarding whether it may possibly apply, please contact the Administrator.
- (b) **Special Situations.** You may be asked to suspend any routine disposal procedures for Records and Disposable Information in connection with certain other types of events, such as the merger of the Non-Profit with another organization or the replacement of the Non-Profit's information technology systems.

Section V.05 Privacy. The Administrator must ensure that all retention and destruction procedures comply with any relevant federal or state privacy laws.

Section V.06 Exceptions. Exceptions to these rules and the Retention Schedule may be granted only by the the Board of Directors.

ARTICLE VI INTERNAL AUDITS AND EMPLOYEE QUESTIONS

Section VI.01 Internal Review and Policy Audits. The [Administrator/Board of Directors/President] will periodically review this Policy and its procedures [with legal counsel [and/or] the Non-Profit's certified public accountant], and audit Constituent files and hard drives to ensure that:

- (a) The Non-Profit is in full compliance with this Policy.
- (b) The procedures under this Policy are reasonable and effective for the Non-Profit's current operations.
- (c) The Policy complies with relevant new or amended regulations.

Section VI.02 Questions About the Policy. Refer any questions about this Policy to the Administrator at FleurDeQue@gmail.com , who is in charge of administering, enforcing, and updating this Policy.