

## DOCUMENT ADMINISTRATION

VERSION NUMBER	APPROVAL PROCESS	DATE
1.0	Prepared by: Governance	March 2009
	Reviewed by: Gavi Audit and Finance Committee Gavi Governance Committee	23 March 2009 15 April
	Approved by: Gavi Board	2-3 June 2009 Effective from: 3 June 2009
2.0	Revised by: Internal Audit	
	Reviewed by: Gavi Audit and Finance Committee	11 March 2010
	Approved by: Gavi Board	16-17 June 2010 Effective:17 June 2010
	Next review:	As and when required

## **1. Purpose**

- 1.1. The GAVI Alliance is committed to being a transparent and accountable organisation. As such, the Document Retention Policy shall govern the preservation and, where applicable, permissible destruction of certain GAVI Alliance documents. It is intended to meet recognised practices and accounting standards for retention periods and to provide guidance on the circumstances which could require longer or indefinite periods of document preservation.

## **2. Definitions**

- 2.1. Terms found in this policy shall have the same meaning as they do within the GAVI Alliance Statutes and By-laws. Further, the following definitions shall apply:
- “Records” - all finalised documents, reports, diagrams, correspondence, emails, and other physically or electronically stored material, and other business records regardless of where they are located or stored, including those stored in a desk drawer, office, file cabinet, record center, hard drive, personal computer or lap-top, or off-site location.
  - “Archiving Team” – The Secretariat team responsible for preserving a pertinent final Record.
  - “Retention Period” – the length of time a final Record must be preserved after it has been archived.

## **3. Retention**

- 3.1. Each member of the Secretariat who generates Records described in Attachment 1 is responsible for submitting it to the Archiving Team which in turn is responsible for placing it in the appropriate physical or electronic archive. Draft, unfinalised versions of Records do not need to be retained.
- 3.2. A Record must be preserved for at least the Retention Period. Further, every member of the Secretariat is prohibited from destroying, materially altering, or deleting any Record until the expiration of the Retention Period. Only a member of the pertinent Archiving Team may delete a Record after the expiration of the Retention Period.

## **4. Extension of Retention Period**

- 4.1. If a member of the Secretariat believes or is informed that a Record is or may be the subject of litigation, or pertaining to a claim, audit, investigation or enforcement action, then the Record cannot be destroyed, altered in any way, or deleted and must be kept until the General Counsel (or the Secretary in the case of Board and Board Committee Packs and Minutes) in his/her sole discretion determines that the Record is no longer needed at which point the retention period shall be reset.

## **5. Disclosure to Third Parties**

- 5.1. Nothing in this policy is deemed to waive any GAVI Alliance privilege or immunity, including the archive privilege. Before disclosing any Record to an outside party in connection with any litigation, claim, audit, investigation or enforcement action, a member of the Secretariat shall consult with a member of the Legal Team about the applicability of the archive privilege.

**Attachment 1**

<b>Record</b>	<b>Retention Period</b>	<b>Archiving Team</b>
Accounts payable ledgers and schedules	7 years	Finance & Operations Team
Audit reports	Permanently	Finance & Operations Team
Bank reconciliations	2 years	Finance & Operations Team
Bank statements	3 years	Finance & Operations Team
Board and Board Committ Packs and Minutes	Permanently	Secretary/Governance Team
Checks	Permanently	Finance & Operations Team
Contracts, notes and leases after expiration	7 years	Legal Team
Deeds, mortgages and bills of sale	Permanently	Legal Team
Depreciation schedules	Permanently	Finance & Operations Team
Employment applications	5 years	HR Team
Year End Financial Statements	Permanently	Finance & Operations Team
Insurance policies (expired)	3 years	Legal Team
Insurance records, accident reports, claims, policies	7 years	Legal Team
Internal audit reports	Permanently	Internal Audit
Internal audit workpaper files	7 years	Internal Audit
Inventories of products, materials and supplies	7 years	Finance & Operations Team
Invoices (expired)	7 years	Finance & Operations Team
Leases (expired)	3 years	Legal Team
Legal files	10 years	Legal Team
Marketing and related sales documents	7 years	External Relations Team
Payroll records and summaries	7 years	HR Team
Personnel files	5 years	HR Team
Press releases	Permanently	External Relations Team
Retirement and pension records	Permanently	HR Team
Tax return and worksheets	Permanently	Finance & Operations Team
Timesheets	7 years	HR Team
Trademark registrations, copyrights, intellectual property, trade	Permanently	Legal Team
Withholding tax statements	7 years	HR Team