

PPG-18

FAMILIES ANONYMOUS (FA) INC.

**POLICY ON MANAGEMENT OF
FA DOCUMENTS AND RECORDS (D&R)**



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PURPOSE OF THIS POLICY

The purpose of this policy is to (a) establish operating procedures to ensure that all FA documents and records (D&R) are protected against loss and compromise by securely managing these materials and (b) by establishing clear lines of responsibility for stewardship of those items.

CONCEPTS AND PRINCIPLES

Secure management of our D&R is accomplished by adherence to the following concepts / principles:

Static and Dynamic D&R Materials – All D&R materials can be considered as either dynamic or static.

Dynamic materials include such items as our FA literature, World Service Office (WSO) forms, Policies and Procedures, etc. These materials are created, and then subject to update / modification / retirement over their lifetime. We may think of these materials as our “documents.”

Static materials are those that are created and never further changed. Examples of static materials are our tax filings, World Service Board (WSB) meeting minutes, board reports, etc. They are created, captured, and never changed. We may think of this category as our “business records.”

Responsibility / D&R Stewardship – Responsibility for managing each category / type / item of D&R is vested by this policy to a “steward,” i.e., an individual who is exclusively responsible for control and management of those items. The steward is generally a WSB committee chair or board officer. No changes to dynamic materials may be made without the express consent of the item’s steward. While authority may be delegated, the ultimate responsibility for compliance with this policy lies with the item steward.

It is the steward’s responsibility to ensure that any newly created or updated D&R materials are immediately forwarded to the Data Management Coordinator (DMC) for secure storage at the WSO.

Upon completion of their service in a stewardship role, the steward will ensure responsibility for D&R materials has been successfully transitioned to the new steward.

The stewards for each category / type / item of D&R are identified in the appendix to this policy.

Secure Storage – All FA D&R materials will be maintained in an electronic archive located on a WSO computer and managed by the WSO DMC or by other WSO staff as designated by the WSO committee chair. D&R materials which are not electronically created are scanned and stored in their electronic form by the DMC. All files on the DMC’s WSO computer, including the D&R archives, will be “backed up” utilizing a commercial service such as Carbonite. This ensures that no material will be lost in the event of failure of a WSO computer.

Revision Tracking – Dynamic items routinely subject to update / revision, e.g., literature, policies, WSO forms, etc., shall be uniquely identified with an ID code and revision date. Retention of previous / archival versions shall be at the discretion of the item steward based on business needs.

Retention Period – To keep the volume of D&R materials at a manageable level, a retention schedule has been established and is given in the Appendix of this policy. It is the responsibility of the steward of the material to ensure that the materials are culled on an annual basis and items no longer required are securely discarded.

SCOPE

This policy is applicable to the following categories of FA Documents and Records:

- Financial / Business Records
- Literature (Sold or Distributed Free)
- Twelve Step Rag
- WSO Operational Records
- WSO Forms / Materials
- Bylaws, Policies, Procedures, and Guidelines
- WSB Operational Records

PROCEDURES

Financial / Business Records (Static)

The FA Treasurer is the steward of FA's financial records, including all tax and legal compliance filings as well as records of all financial transactions made by the fellowship. Paper materials, such as tax and compliance filings as well as bank statements, bills, deposit slips, etc., are maintained at the WSO or with the Treasurer.

The WSB Chair is the steward of all non-financial business records, e.g., Insurance Policies, Leases, official correspondence, etc.

All Financial / Business Records are considered to be "Static" records.

Literature (Dynamic)

This category includes all masters and production copies (typically PDFs) of FA literature whether sold or distributed for free. The Literature Committee chair is the steward of these materials. The "Literature Catalog" is essentially the master index of all FA literature.

Twelve Step Rag (Static)

The Twelve Step Rag committee chair is the steward of these materials. Each bi-monthly edition of the Twelve Step Rag will be archived at the WSO.

World Service Office Operational Records (Static and Dynamic)

This category encompasses hardcopy and electronic materials created and / or processed by the WSO in the course of normal business operations. It includes both static and dynamic materials.

Examples of static materials are routine correspondence, hardcopy group registrations, hardcopy literature order forms, etc.

Electronic records include our Groups Master List, master email lists, the monthly Literature Inventory Report, etc.

The WSO Committee chair is the steward of these records.

World Service Office Forms / Materials (Dynamic)

This category includes all hardcopy forms and standard cover letters / communications utilized by the WSO in its daily operations. Each item in this category is uniquely identified by an ID of the form WSOF-xx (where xx is a sequential number from 01 to 99) and by a revision date. Assignment of a unique ID is the responsibility of the DMC. Stewardship of each unique WSOF item lies with the board officer / committee which initiated the document.

A master index of WSO forms and materials will be maintained by the DMC. This index lists each WSOF-xx item as well as its ID, title, steward, master file name, and latest revision date.

Bylaws, Policies, Procedures, and Guidelines (Dynamic)

This category encompasses all Policies, Procedures, and Guidelines formally adopted by the World Service Board. It also includes the FA bylaws. Each item in this category is uniquely identified by an ID of the form PPG-xx (where xx is a sequential number from 01 to 99) and by a revision date. Assignment of a unique ID is the responsibility of the DMC. Stewardship of each unique item in this category lies with the board officer / committee which initiated the document.

A master index of PPG documents will be maintained by the DMC. This index lists each PPG-xx item as well as its ID, title, steward, master file name, and latest revision date.

World Service Board Operational Records (Static and Dynamic)

This category consists of those records of the operations of the WSB, e.g., WSB meeting minutes, annual business meeting materials and minutes, official WSB correspondence, etc. Stewardship of these materials varies by subcategory and is indicated in Appendix 1.

Appendix 1 – Records Retention Schedule

Category	Item	Type	Steward	Retention Period
Financial / Business	Bank Statements	Hardcopy or Electronic	Treasurer	6 Years
	Deposit / Withdrawal Slips	Hardcopy	Treasurer	6 Years
	Monthly and Annual Financial Reports	Electronic	Treasurer	6 Years
	Approved Annual Financials Report	Electronic	Treasurer	Permanent
	Local / State / Federal Filings	Hardcopy or Electronic	Treasurer	6 Years
	Bills / Statements	Hardcopy or Electronic	Treasurer	6 Years
	Cancelled Checks	Hardcopy or Electronic	Treasurer	6 Years
	Payroll Records	Electronic	Treasurer	6 Years
	Petty Cash Expenditure Receipts	Hardcopy	Treasurer	6 Years
	All Other Financial Records		Treasurer	6 Years
	Leases	Hardcopy	WSB Chair	Indefinite, then archived per WSB Chair
	Insurance Policies	Hardcopy	WSB Chair	6 years
	Official Correspondence	Hardcopy or Electronic	WSB Chair	6 Years
	All Other Business Related Records	Hardcopy or Electronic	WSB Chair	6 Years
Literature	Literature Masters	Electronic	Literature Committee	Indefinite, then archived per Literature Committee
	Literature PDF's	Electronic	Literature Committee	Indefinite, then archived per Literature Committee

Category	Item	Type	Steward	Retention Period
Twelve Step Rag	Twelve Step Rag	Electronic	12 Step Rag Committee	Indefinite
WSO Operational Records	Hardcopy Order Forms	Hardcopy	WSO Committee	2Years
	E-Store Order Records	Electronic	WSO Committee	2 Years
	Shipping / Postage Receipts	Hardcopy	WSO Committee	2 Years
WSO Operational Records (Continued)	Hardcopy Group Registrations	Hardcopy	Group Outreach (GO) Committee	2 Years
	Groups Master List	Electronic	GO Committee	Indefinite
	Misc. Group Records	Hardcopy	GO Committee	Indefinite
WSO Forms / Materials	WSOF-xx Forms / Documents	Electronic	Various per Master Index	Indefinite
Bylaws, Policies, Procedures, and Guidelines	PPG-xx Documents	Electronic	Various per Master Index	Indefinite
WSB Operational Records	WSB Meeting Minutes	Electronic	Secretary	Permanent
	Monthly Board Member Reports	Electronic	Secretary	2 Years
	Annual Business Meeting Minutes	Electronic	Secretary	Permanent
	ABM Materials / Ballots Masters	Electronic	WSB Chair	6 Years

Category	Item	Type	Steward	Retention Period
	Official Board Correspondence	Hardcopy or Electronic	WSB Chair	6 Years
	US Intergroup Bylaws	Electronic	GO Committee	Permanent
	Ex-US Intergroup Bylaws	Electronic	International Groups (IG) Committee	Permanent
	National Service Board Bylaws	Electronic	IG Committee	Permanent
	WSB Nomination Consent Forms	Electronic	Nominating Committee	6 Years
	Annual Report of Financial Oversight Committee	Electronic	Financial Oversight Committee	6 Years