

804**RECORDS RETENTION**BOARD ADOPTED MARCH 16, 2015

804 RECORDS RETENTION**A. PURPOSE**

This policy is adopted to establish a systematic records retention system for Intermediate Unit records. The Board recognizes that the orderly and managed retention and destruction of Intermediate Unit records promotes efficiency, conserves financial and physical resources, and promotes the orderly day-to-day execution of Intermediate Unit business.

B. DELEGATION OF RESPONSIBILITY

The Board directs the Executive Director or her/his Designee to develop procedures to implement this policy including creating a Records Retention Schedule for Intermediate Unit records. The Executive Director shall designate a Records Retention Officer as the central point of contact for the Intermediate Unit to coordinate the retention and disposition of records. Although day-to-day supervision of records retention and disposition may be delegated to the Records Retention Officer, the Executive Director maintains the responsibility and authority to enforce this policy.

C. DEFINITION

A record is any form of data or information created, received, and/or maintained as evidence or information by the Intermediate Unit, or a person acting on behalf of the Intermediate Unit, in connection with the transaction of official Intermediate Unit business. Records include electronic data, but specifically exclude text messages, voice messages, transmittal data (such as fax cover sheets), drafts, and Post-ItTM notes, which are temporary in nature and not managed by the Intermediate Unit.

D. GUIDELINES**Records Retention**

Intermediate Unit records shall be retained in such a manner as to:

- Meet legal standards for protection, storage and retrieval;
- Protect privacy as required by law;
- Optimize the use of storage space and electronic options;
- Minimize the cost of data retention; and
- Destroy records when no longer needed in an appropriate manner.

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35 Records Procedures Must Be Followed

36 All Intermediate Unit employees must follow this policy and any administrative procedures
37 developed to implement those policies. Failure to adhere to this policy or the administrative
38 procedures developed to implement this policy may be cause for disciplinary action, up to and
39 including dismissal. Copies of this policy shall be available on the Intermediate Unit's website.

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41 Exceptions

42 Requests for exceptions to this policy or its administrative procedures must be submitted in writing to
43 the Records Retention Officer. Upon review of the request, the Records Retention Officer *may* grant
44 an exception so long as the exception does not substantially impede the overall purpose of this policy
45 or its administrative procedures.

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47 Training

48 All employees shall be provided with a copy of this policy and any administrative procedures
49 developed to implement those policies. Copies of this policy shall also be made available on the
50 Intermediate Unit's website. Periodic training or review shall be provided to employees to implement
51 these policies and procedures as determined to be necessary by the Records Retention Officer.

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53 Interpretation

54 The Records Retention Officer designated by the Executive Director shall be responsible for
55 interpreting any portions of this policy or any administrative procedures developed to implement this
56 policy.

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58 Litigation Hold

59 No employee shall destroy any record if the Intermediate Unit has been made aware that the record
60 may be needed for pending or anticipated litigation.

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62 Any Intermediate Unit administrator, upon being notified of pending or anticipated litigation and the
63 need to preserve certain records, shall immediately notify the Executive Director and the Records
64 Retention Officer in writing to ensure the preservation of the proper records and suspension of any
65 record disposal activities for the records in question. The Records Retention Officer shall coordinate
66 with the Intermediate Unit Solicitor or Special Counsel to ensure that all required records are
67 preserved for the duration of any litigation. Records retained pursuant to a litigation hold shall be
68 retained until the final disposition of all litigation proceedings and until the written instruction by the
69 attorney for the Intermediate Unit that the records may be destroyed.

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72 Disaster Preparation / Documents of Exceptional Value

73 The Executive Director or the Records Retention Officer is directed to identify and to take special
74 precautions to preserve records critical to the operations of the Intermediate Unit and records with
75 significant historical value. Those records include:

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- 77 • Legal and financial records;
 - 78 • Records regarding Executive Director obligations to employees, contractors, and vendors;
 - 79 • Records documenting ownership of property and other assets;
 - 80 • Intellectual property;
 - 81 • Documents and plans regarding critical infrastructure; and
 - 82 • Archival records of historical value including Intermediate Unit board minutes, audit reports,
83 trademarks, copyrights, deeds, financial records, photographs, and Intermediate Unit
84 publications.
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