



FLORIDA NATIVE PLANT SOCIETY

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Documents and Records Management Policy and Procedures

INTRODUCTION

The Florida Native Plant Society, Inc. (FNPS) recognizes the importance of maintaining complete, secure and authentic records in pursuit of the FNPS mission. FNPS follows consistent procedures for its record keeping ensuring best management and legal defense to assure FNPS's public charitable status.

Records management refers to the systematic control of information and documentation required for the administration and operation of FNPS, including determination of what records should be retained, how long records need to be retained, who in the organization is responsible for the records, and when records should eventually be destroyed.

PURPOSE

The purpose of this policy is to ensure that authentic, reliable, complete and usable documentation is properly managed and maintained in an effective and secure manner for as long as required. Specific objectives include:

- Preservation of records of permanent value
- Ready access to historic records
- Protection of records that have regulatory, statutory or business value against damage, loss, tampering or unauthorized access for appropriate periods of time
- Protection of confidentiality as needed

REVIEW AND IMPLEMENTATION

The FNPS Board will review this policy every five years to ensure compliance with relevant State and Federal laws, and to ensure that the policy continues to serve the best interests of FNPS.

FNPS's President is empowered to develop and amend procedural standards as needed to implement this Records Management Policy. This authority may be delegated to the FNPS Executive Director.

RECORDS DESTRUCTION

Organizational records may be destroyed at the expiration of the retention periods listed in the Records Storage and Retention Schedule (Appendix A). However, documents may be retained

longer upon discretion of the FNPS Executive Director or President. Hard copy documents will be shredded, and digital files will be permanently deleted to ensure privacy of records.

DISSOLUTION OF ORGANIZATION

In the event that FNPS is dissolved as an organization, all of its organizational records shall be transferred to one or more charitable societies as selected by the FNPS Board.

FNPS STORAGE LOCATIONS

FNPS stores records in the following locations.

- Secure Storage: FNPS maintains a locked storage unit in Dundee, Florida. Documents stored here are protected from fire, flooding, theft and hazards of everyday use. Transfer of safe storage may occur in the future to other locations or organizational offices, as approved by the Board.
- Non-secure office storage: As above, these files may be transferred to a different location with approval by the Board. All documents are stored in hard copy in file cabinets in FNPS staff and contractor's offices.
- Electronic files: All essential documents are scanned and filed in digital form in the FNPS virtual office (Google Drive). These files are automatically backed up weekly on the FNPS office back-up hard drive. Electronic copies of essential documents provide redundancy in recordkeeping to offset risks of loss and damage.

PROCEDURES

The Executive Director oversees storage, retention and monitoring of FNPS records. The Executive Director is responsible for the maintenance and inspection of FNPS records in accordance with this policy.

The condition of stored records (digital and hardcopy) shall be examined annually by the FNPS Executive Director or designated staff member. If Staff is unavailable or non-existent, this duty shall fall to the Board Secretary.

Records will be clearly identified with the name and title of the creator and the date the record is created or updated.

1. FNPS Corporate Records (See Appendix A)

Corporate Records: records related to incorporation, bylaws, and nonprofit status.

- Original documents are kept in secured storage, working copies are kept on file in the FNPS office.
- Copies of these records are maintained electronically on the FNPS office network drive.

- These files shall be available for public inspection. Members of the public may request access copies of these records from the Executive Director.

Tax-exemption documents: includes application Form 1023, IRS determination letter, etc.

- Federal law requires that copies of these documents be held and made available for public inspection upon request.
- Originals of these records, on plain paper, are kept in secured storage
- Copies are scanned and stored electronically on FNPS's office network drive.
- These files shall be available for public inspection. Members of the public may request access copies of these records from the Executive Director.

Board meeting agendas, minutes, and other documents related to FNPS governance:

- These records document FNPS's decisions and organizational history. The Board Secretary is responsible for the timely compilation and certification of these records. The Executive Director has primary responsibility for the maintenance and monitoring of these records.
- The current year's records are maintained electronically in FNPS's offices and digital copies are stored on the FNPS network (the Forum)
- Access is limited to FNPS members and employees. Members have access to these records through the Forum

FNPS Financial Records

- FNPS retains records related to financial operations, including accounting records and reports, tax returns, audits, contracts, insurance documents, invoices, canceled checks, bank and investment statements.
- Current fiscal year records are maintained in file drawers and electronic files in FNPS's offices. At the end of the fiscal year, financial records are compiled and stored in FNPS's office archives and kept for at least seven years (see Appendix A).
- Access to financial records (other than financial audits and reviews, and 990 tax returns) is available to the general public on the FNPS Forum.
- Annual financial audit and review reports and the public portions of 990 tax returns are accessible to all persons upon request.

2. FNPS Personnel Records

- A personnel file is maintained for each current and former FNPS employee.
- Personnel records are confidential. Access is limited to the Executive Director and the President. Employees will be given access to their individual file, except that some documents may be restricted (see FNPS Employee Handbook).
- Hard copy personnel files are maintained in a locked file cabinet. Digital files are kept on a password protected hard drive.

3. FNPS Other Records

- Fundraising records will be retained to document that FNPS complies with charitable solicitation laws, intended use of funds, and to document use of donor-restricted funds in keeping with donor intent.
- Personal and donation history data related to FNPS members and donor shall be maintained in the FNPS CRM system and not distributed outside of the organization without consent from members and donors.
- General correspondence with donors, granters, and members shall be retained for two years, after which time these documents will be destroyed.
- Correspondence related to legal matters may be kept indefinitely.
- The Executive Director has primary responsibility for keeping fund raising records and correspondence in appropriate digital and hardcopy office files.

Other FNPS records shall be retained in location and duration indicated in Appendix A.

Appendix A: Records Retention and Schedule

Type of Document	Retention Time	Secure storage	Office working files	Office digital
1. Contracts				
Contracts, Notes and Leases (expired)	7 years		√	√
Contracts, Notes and Leases (still in effect)	For 7 years after expiration	√	√	√
2. Corporate Records				
Articles of Incorporation	Permanently	√	√	√
Bylaws	Permanently	√	√	√
501 (c) (3) Letter	Permanently	√	√	√
Board Minutes and Resolutions	Permanently		√	√
3. Correspondence				
Correspondence (general)	2 years		√	√
Correspondence (legal matters)	Permanently	√	√	√
4. Financial Records				
Computerized accounting system files	Permanently			√
Accounts payable ledgers and schedules	7 years		√	√

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Type of Document	Retention Time	Secure storage	Office working files	Office digital
Audit reports	Permanently	√	√ (recent)	√
Bank Reconciliations	2 years		√	√
Bank statements	3 years		√	
Checks (for important payments and purchases)	Permanently		√ (recent)	√
Depreciation Schedules	Permanently	√	√	√
Expense Analyses/expense distribution schedules	7 years		√	√
Internal audit reports	3 years		√	√
Invoices (to customers, from vendors)	7 years		√	√ (if available)
Tax returns and worksheets	Permanently	√	√	√
Withholding tax statements	7 years		√	√
Year End Financial Statements	Permanently		√	√
				√
5. Fundraising and Outreach Records				√
Fundraising solicitation and appeals	7 years		√	√
Documentation of donor restrictions on contributions	7 years after restrictions fulfilled	√	√	√
6. Insurance Records				
Insurance Policies (expired)	3 years		√	√
Current insurance records, policies, etc.	For 3 years after policy expires		√	√
Accident reports, claims.	For 7 years after incident		√	√
7. Personnel				
Employment applications	3 years		√	√
Payroll records and summaries	7 years		√	
Personnel files (terminated employees)	7 years	√		
Personnel files (current employees)	For 7 years after termination	√		√
Timesheets	7 years		√	√

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Type of Document	Retention Time	Secure storage	Office working files	Office digital
8. Property Records				
Board resolutions to acquire property	Permanently	√	√	√
Environmental Assessments	Permanently	√	√	√
Deeds	Permanently	√	√	√
Funder Agreements, Grants	Permanently	√	√	√
Purchase and Sales Records	Permanently	√	√	√
Title Opinions & Title Insurance Policies	Permanently	√	√	√
Surveys and Maps	Permanently	√	√	√
9. Publications				
Copies of Sabal Minor – one of each edition	Permanently	√		√
Copies of Palmetto - one of each edition	Permanently	√		√
Brochures - one of each	Permanently	√		√