

RECORDS RETENTION AND DISPOSITION SCHEDULE

LOCAL EDUCATION AGENCIES



Issued By:

North Carolina Department of Cultural Resources
Division of Archives and History
Archives and Records Section
Records Services Branch

February 19, 1999

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LOCAL EDUCATION AGENCIES RECORDS RETENTION AND DISPOSITION SCHEDULE

The records retention and disposition schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the *General Statutes of North Carolina*, it is agreed that the records of each

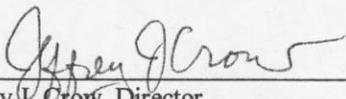
Local Education Agency

do not and will not have further use or value for official business, research, or reference purposes after the respective retention periods specified herein. The North Carolina Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule and the

Superintendent of Public Instruction

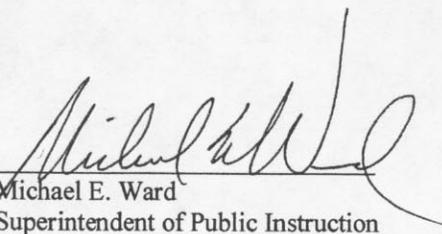
agrees to the provisions of this schedule as stated and endorses its use. This schedule is to remain in effect from the date of approval until it is reviewed and updated.

APPROVAL RECOMMENDED

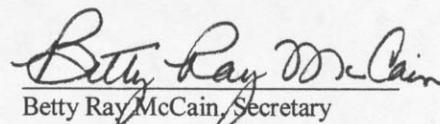


Jeffrey J. Crow, Director
Division of Archives and History

APPROVED



Michael E. Ward
Superintendent of Public Instruction



Betty Ray McCain, Secretary
Department of Cultural Resources

February 19, 1999

ABOUT THIS PUBLIC RECORDS SCHEDULE

This records schedule identifies and provides retention and disposition instructions for many records that are produced and maintained in the offices of the local education agency. These records are defined under Chapter 132 of the *General Statutes of North Carolina* as “public records.” Chapter 121-5 mandates that these public records may be disposed of only in accordance with an official records retention schedule. Such schedules are written by the North Carolina Department of Cultural Resources in cooperation with the agency or governing body and include the official approval of these bodies, as required by law, for records disposition actions.

INTERNET ACCESS TO PUBLIC RECORDS INFORMATION. The Records Services Branch offers valuable information on the Internet at its Web site, which may be accessed at <http://www.ah.dcr.state.nc.us/sections/archives/rec/default.htm>. Local government agencies are encouraged to reference the site and its links to other data. The Web site offers much of the introductory information and many of the forms contained in this schedule, full text of G.S. §121 and §132, and contact information for the Records Services Branch.

WHAT THE SCHEDULE IS. This records retention and disposition schedule supersedes and replaces a similar schedule for offices of the superintendent of schools and board of education issued in 1982, which in turn superseded *The County Records Manual* published in 1970. The schedule contains a listing and brief description of the records maintained in school system offices and identifies the minimum period of time each record series shall be retained. Records normally should be disposed of at the end of the stated retention period. In effect, the schedule provides a comprehensive records disposition plan which, when followed, ensures compliance with G.S. §121 and §132. All provisions of this schedule remain in effect until the schedule is officially amended. Errors and omissions do not invalidate this schedule as a whole or render it obsolete. As long as the schedule remains in effect, destruction or disposal of records in accordance with its provisions shall be deemed to meet the provisions of G.S. §121-5(b) and be evidence of compliance of the law. **However, in the event that a legal requirement, statute, local ordinance, or federal program requires that a record be kept longer than specified in this schedule, the longer retention period shall be applied. All questions concerning the legal requirements for retaining a record should be referred to the county attorney.**

PUBLIC RECORDS DEFINED. Chapter 132-1 of the *General Statutes of North Carolina* states:

“Public record” or “public records” shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the transaction or public business by any agency or North Carolina government or its subdivisions. Agency of North Carolina government or its subdivisions shall mean and include every public office, public officer or official (State or local, elected or appointed), institution, board, commission, bureau, council, department, authority or other unit of government of the state or of any county, unit, special district or other political subdivision of government.

NOT ALL PUBLIC RECORDS ARE OPEN TO THE PUBLIC. Public records belong to the people. However, not all official public records are open to the public. Many records are protected from general access or casual reference by “need to know” restrictions, by federal or state laws, or by legal precedent and can be seen only by court order. Therefore, even though G.S. §132-6 and §132-9 provide for public access to most records, certain records should be considered confidential in order to protect the privacy rights of agency personnel and the public. It is the responsibility of each records custodian to be familiar with G.S. §115C and §153A, agency policy, and all other pertinent state and federal legislation and regulations in order to ensure the proper protection of restricted information. If in doubt, consult the Division of Archives and History or your agency’s attorney.

DATA PROCESSING AND OTHER ELECTRONIC AND MACHINE READABLE RECORDS. Many paper records are being eliminated when the information they provide has been placed on magnetic tapes, disks, or other data processing media. In these cases, the information on the data processing medium should be retained for the length of time specified in this schedule. For more information on the retention and disposition of records in machine readable form, see Standard-4 (page 19) of this schedule. Also see *Electronic Mail as a Public Record in North Carolina* on page x.

CHANGING THE SCHEDULE. You may request an addition, deletion, or change in a retention period by completing and sending Form RC-3C to the Division of Archives and History (copy of form included on page 51). See the instructions on the form for more information.

EARLY DISPOSAL OR DISPOSAL OF UNSCHEDULED RECORDS. Custodians desiring to dispose of records earlier than specified in this schedule or to dispose of records not listed in the schedule may use Form RSB-RC5 to obtain the concurrence of the Department of Cultural Resources (copy of form included on page 52 or available on the Internet). Permission must also be obtained from the governing body and included in its minutes.

PERMANENT RECORDS. Records scheduled for permanent preservation, even after being microfilmed, may not be destroyed without specific written permission of the Department of Cultural Resources.

PROTECTING PUBLIC RECORDS. Public records are public property. They should remain in the care of the government agency in which they were created or collected in the course of public business and then be disposed of only when and as specified in this records schedule.

DESTRUCTION OF PUBLIC RECORDS

1. **AUTHORIZED PROCEDURES.** One of the following procedures shall be followed prior to the destruction of public records.
 - a) Records listed in this schedule, or added later by amendment, may be destroyed after the specified retention periods without further approval of the Department of Cultural Resources or the governing body providing:
 - (1) The Superintendent of Public Instruction has authorized the records listed herein for destruction to be destroyed by blanket approval of this retention and disposition schedule.
 - (2) The Director, Division of Archives and History, and Secretary, Department of Cultural Resources, have certified that such records in the retention and disposition schedule have no further use or value for research or reference by signing the same agreement sheet of this schedule.
 - b) One-time destruction of an accumulation of an unscheduled or a discontinued record series should be referred to the Department of Cultural Resources and the governing body for authorization.
 - c) In accordance with G.S. §121-5(b), it is recommended that the governing board of each school system approve the retention and disposition schedule and include a copy in the minutes of the meeting during which the guidelines are approved.

2. **DESTRUCTION OF ORIGINAL RECORDS THAT HAVE BEEN DUPLICATED.** Original records that have been duplicated on microfilm, microfiche, data processing or word processing equipment, or other form may be destroyed prior to the retention period specified in the records schedule without further approval from the Department of Cultural Resources, provided the following conditions are met:
 - a) The duplicate copy of the information contained in the original record is maintained for the specified time.
 - b) The original record has not been scheduled for permanent preservation.
 - c) The governing body has agreed to the destruction of the original paper records and the destruction is recorded in a permanent record, such as the minutes of the governing body.

3. **DESTRUCTION OF DATA PROCESSING RECORDS.** Computer printouts and other data processing input/output may be destroyed without specific authorization and recording, provided the following conditions apply:
 - a) The information is maintained on magnetic media (e.g., magnetic tape, diskettes, etc.), and the media are scheduled in a records retention and disposition schedule.
 - b) The output copy is not specifically listed and scheduled in this records retention and disposition schedule.

For more information on the retention and disposition of records in machine readable form, see Standard-4 (page 19) of the schedule. You may request the disposal of electronic data processing public records by submitting Form RC-MRR-1 to the Records Services Branch (copy of form included on page 53).

4. **METHODS OF DESTRUCTION.** Local government records provide documentation of the actions and processes of government at its most direct level. These records should remain in the custody and control of the agency that created them or received them pursuant to law until such time as they are eligible for disposition. When authorized by an approved records retention and disposition schedule, records should be destroyed in one of the following ways:

- a) Burned, shredded, or torn up so as to destroy the record content of the documents or materials concerned;
- b) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;
- c) buried under such conditions that the record nature of the documents or materials will be terminated; or
- d) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold as documents or records.

5. **DISPOSITION OF RECORDS NOT AUTHORIZED FOR DESTRUCTION BY THIS SCHEDULE.** Custodians with records not authorized for destruction or other disposition by this schedule may discard these records by following one of the procedures listed below:

- a) Address correspondence using Form RSB-RC-5 to the address indicated on the form (copy of form included on page 52 or available on the Internet)
- b) Custodians with records no longer in current use that are identified as permanent and not authorized for destruction by this schedule, or with paper records that have been microfilmed, are authorized and empowered to turn over such records to the Department of Cultural Resources. The Department of Cultural Resources is authorized, at its discretion, to accept custody of those records providing it has adequate space and staff in the State Archives. A written offer of the records should be made to the Assistant State Records Administrator, Records Services Branch, 109 E. Jones Street, Raleigh, North Carolina 27601-2807.

RECORDS MANAGEMENT WORKSHOPS

TECHNICAL AND PROFESSIONAL TRAINING. Staff training helps to make a good agency records management program better. The records management workshops listed below are available to all governmental agencies and can be presented at your office. They are also available at periodic intervals in the State Records Center building in Raleigh.

An agency outside the Raleigh area may request a workshop held on its premises by telephoning (919) 733-3540. Although fifteen is an optimal number of participants for workshops, they are provided for any interested agency personnel.

MICROGRAPHICS AND GOVERNMENT RECORDS. The workshop presents the various microforms available in the industry today; micrographic principles, technology and production; state technical standards and procedures to ensure the legal admissibility of microforms; and micrographic systems and equipment. Also included are a basic introduction to micrographics, the advantages and limitations of microfilm, quality controls, suggested specifications for vendor services, state technical standards for in-house operations or micrographic services provided by vendors, and choosing and implementing a micrographic system. Normally this workshop is conducted in the State Records Center building in Raleigh. The workshop is shortened for presentation outside of our classroom.

State, county, and municipal government agencies with existing in-house systems, microfilm operators and supervisors who perform or supervise source document microfilming, and those interested in developing or maintaining micrographic systems would benefit from this training course designed to present the overall picture. The Raleigh workshop includes equipment demonstrations and operator maintenance tips on how to keep a microfilm system operating with a minimum of equipment failures.

RECORDS AND INFORMATION MANAGEMENT FUNDAMENTALS. Management methods and procedures for controlling active and inactive records in state, county, and municipal government offices through the use of records retention and disposition schedules are presented in the workshop. Included in the training session are pertinent laws, protecting essential records, determining historical and other record values, disposition procedures, and the relationship of disposition to other records management activities.

The training course is designed for all management, staff, and clerical levels in county, municipal, and state government agencies engaged in controlling records and information of all types.

FILES AND FILING. Step-by-step procedures for organizing and maintaining subject files in an efficient, easy-to-use system are presented in this workshop. The workshop includes: ordering and using the correct supplies; organizing files by their function; color coding files to increase retrieval speed and reduce misfiles; a single-point reference system with everything about a particular case, subject, person or location in one folder (case filing); eliminating "General" and "Miscellaneous" files; and creating a filing system in which anyone can locate a folder. The training course is designed for personnel who perform or supervise filing operations and are looking for something better than a straight alphabetical filing system.

MANAGING ELECTRONIC PUBLIC RECORDS. Electronic files in state, county, and municipal agencies include records stored in desktop computers. The workshop covers public access to electronic files; legal acceptance of electronic records; managing, storing, and retrieving electronic records; electronic mail; security of electronic files; and system backups.

MICROFILM

ADVANTAGES. Microfilm is an economical and practical means of preserving a security copy of essential records, and it can be used by government agencies to eliminate the problem of excess paper.

LEGAL AUTHORITY AND ACCEPTANCE. Legal authority for microfilming county records is contained in **G.S. §153A-436**. This statute provides that the method of reproduction must give legible and permanent copies and the reproduction of the public records must be kept in a fire-resistant file, vault, or similar container.

G.S. §8-45 and §153A-436 provide that microfilm copies of public records shall be admissible as evidence in any judicial or administrative proceeding.

To ensure uniformity and legal acceptability in microfilmed records, certain forms, targets, and procedures should be used when microfilming public records. The Division of Archives and History has published *Micrographics: Technical and Legal Procedures* to aid state, county, and municipal agencies in producing good-quality microfilm that meets all legal requirements.

TECHNICAL STANDARDS. Specific technical standards are required to assure quality microforms that are readily reproducible and, where necessary, capable of permanent preservation. There are four basic groups of standards that establish criteria for microfilm to be of archival or permanent quality: standards for the manufacture of raw film; standards affecting the method of filming in order to produce good overall results; standards involved in processing (developing) microfilm; and standards for the storage of processed microfilm. Those standards are listed and explained in the Division of Archives and History's publication, *Micrographics: Technical and Legal Procedures*. The standards were compiled from national associations such as the American National Standards Institute (ANSI) and the Association for Information and Image Management (AIIM).

SERVICES AVAILABLE. The Division of Archives and History offers microfilming of minutes and other selected permanent records. An appointment to microfilm the records is necessary and may be made by calling (919) 733-3540. The records scheduled to be microfilmed must be delivered to Raleigh for filming. The silver original reel is stored for security in the State Archives' environmentally controlled vault. Duplicate reels may be obtained from the Records Services Branch for a small fee.

Micrographic feasibility studies are provided, on request, to help agencies determine the most cost-effective micrographic system to meet their needs. Evaluations of existing micrographic applications are performed to ensure that microfilm meets state technical standards and is of archival quality.

Agencies microfilming their own *permanent* records should send the silver (camera) film to the Division of Archives and History for storage in the vault, or to an off-site facility that meets microfilm storage criteria outlined in *Micrographics: Technical and Legal Procedures*. Duplicate film can be used in the office as the working copy.

DISASTER ASSISTANCE IS AVAILABLE

Throughout our state's history, county and municipal records have been vulnerable to man-made and natural disasters. Even with modern facilities and improved security and protective measures, public records are still susceptible to fire and water damage, and several disasters involving public records have occurred in this state during recent years. One of the most common forms of disaster has been a fire (usually at night or during a weekend). In those instances, valuable and often irreplaceable records that escaped the flames were ruined by water and mud resulting from fire fighting. In most cases, records that were irreparably damaged might have been saved if state and local officials had known what to do with damaged records and acted promptly.

In order to help state, county, and municipal agencies cope with fires, floods, and other disasters involving records, the North Carolina Division of Archives and History has formed a Disaster Preparedness Team. Upon request, members of this team will advise local officials in the retrieval of damaged records. When possible, they will also provide further assistance upon request.

What should you do when a disaster occurs? The first and most important step to take is to notify the Division of Archives and History at (919) 733-3540 immediately. [During nights or weekends, call the local emergency management office.] Next, secure the area containing the damaged records as soon as possible. Until firefighters or other safety personnel confirm the safety of the area, no one should enter the facility. In the case of water-damaged records, the first step is to ventilate the area as much as possible to delay the growth of mold and facilitate later records-salvage efforts. Finally, and most important---**NO ONE SHOULD REMOVE OR ATTEMPT TO CLEAN RECORDS**. Damaged records are fragile, and attempts to move or clean them may cause unnecessary destruction. Trained personnel normally will be on the scene within hours, and they will direct recovery of the damaged records.

Information about disaster response is available on the Internet, on the Division of Archives and History's Web site, at <http://www.spr.dcr.state.nc.us>.

ELECTRONIC MAIL AS A PUBLIC RECORD IN NORTH CAROLINA
Guidelines for Its Retention, Disposition, and Destruction

Department of Cultural Resources
Division of Archives and History

The Division of Archives and History assumes that every state agency or other political unit in the state of North Carolina sends and receives electronic mail ("e-mail") or will shortly have the capability of doing so. E-mail (unless it is personal in nature) contains information of value concerning, or evidence of, the administration, management, operations, activities, and business of an office. Like paper records--such as the memoranda, correspondence, reports, and the hundreds of other types of records received traditionally, for example, through interoffice or U.S. mail or other avenues---e-mail has administrative, legal, reference, and/or archival values. *The content of electronic mail is a public record* (according to G.S. 121.8 and 132.1) *and may not be disposed of, erased, or destroyed without specific guidance from the Department of Cultural Resources.* This regulation, along with a current records retention and disposition schedule, is intended to provide for that guidance.

Accordingly, agencies and their offices which use e-mail should normally retain or destroy e-mail by following the provisions of a current, valid records retention and disposition schedule listing the records maintained by a particular office, filing e-mail (whether in paper or electronic format) within existing records series on their schedules and handling it according to the disposition instructions assigned to each such records series. Because of the characteristics of the medium, however, electronic mail also possesses a dual identity. E-mail is also used to transmit and receive messages that may have reference or administrative value but which are simultaneously of an ephemeral, temporary, or transient nature. As such, e-mail of this kind functions in some ways like telephone calls or telephone messages. Such messages remain public records but may be treated as having a reference or administrative value that ends when the user no longer needs the information such a record contains. E-mail of ephemeral or rapidly diminishing value may be erased or destroyed when the user has determined that its reference value has ended.

Agencies and offices need, however, to pay particular attention to the sometimes complex requirements for the retention of e-mail for longer periods of time, i.e., e-mail of more than transient value. E-mail in this category may be retained in electronic or paper form (the latter may in some cases be the only means of providing for archival retention, for example through microfilming of paper copies), but must be retained for as long as the period specified in a valid records schedule. If retained in paper form, the copies must retain transmission and receipt data. If electronic mail is retained in electronic form, office administrators need to insure that their electronic environment (client server, mainframe computer in or outside their agency, or office personal computer) assures the retention of e-mail for the required period of time. Office administrators may need to contact relevant personnel at SIPS (State Information Processing Services), at their own agency computer systems unit, or any other personnel who operate computer units or systems immediately or remotely, to ensure that such systems process e-mail in accordance with records retention schedules and provide for backups, disaster recovery, physical and electronic security, and the general integrity of the system, its components, and the records it generates and maintains. Office administrators may also need to assure that office filing systems adequately provide for the proper classification of electronic files (including e-mail) in the same manner as currently provided for paper-based files.

Office administrators, department or unit heads, and all other state employees who use e-mail should regularly and consistently retain or delete e-mail in accord with the records series and disposition instructions, and other instructions, provided above. Retention of e-mail or any other records, whether in electronic or paper format, for longer than provided in a valid records retention and disposition schedule leads to inefficiency and waste and may subject the affected unit to legal vulnerabilities.

STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS. Records concerning the authority, operating philosophy, purposes, methods, and primary functions of the local education agency.

1. **ACCIDENT REPORTS (EMPLOYEES) FILE.** Records concerning accidents involving local education agency employees that result in personal injury. File includes accident reports and other related records.

DISPOSITION INSTRUCTIONS:

- a) Transfer records resulting in workers' compensation claims to Workers' Compensation Program Claims File (item 33) in Standard-6, Personnel Records.
- b) Destroy in office remaining records after 3 years if no litigation, claims, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

2. **ACCIDENT REPORTS (STUDENTS) FILE.** Records concerning accidents involving students that result in personal injury. File includes accident reports and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office remaining records after 3 years if no litigation, claims, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

3. **AGENDAS FILE.** Agendas used for meetings.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

4. **ASSOCIATIONS AND COMMITTEES FILE.** Records concerning various associations and committees. File includes correspondence, lists of members, newsletters, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

5. **BULLETINS FILE.** Administrative notices issued by authorized agency officials.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

6. **BUSINESS LICENSES FILE.** Records concerning companies authorized to conduct business with the local education agency. File includes copies of business licenses, applications, fee schedules, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after expiration.

7. **CONFERENCES AND WORKSHOPS FILE.** Records concerning conferences and workshops conducted or attended by local education agency employees. File includes correspondence, agendas, programs, reports, training records, handouts, reservation forms, critiques, questionnaires, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

8. **CORRESPONDENCE/MEMORANDUMS FILE.** Administrative and management correspondence/memorandums written or received by office.

DISPOSITION INSTRUCTIONS:

- a) Transfer correspondence with obvious historical value to Histories File (item 19) after 3 years.
- b) Destroy in office remaining records after 3 years.

9. **DEEDS FILE.** Deeds providing evidence of local education agency ownership of property.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

10. **DIRECTIVES FILE.** Official policy statements and directives concerning or affecting the local education agency.

DISPOSITION INSTRUCTIONS:

- a) Retain in office one copy permanently.
- b) Destroy in office remaining records when superseded or obsolete.

11. **DONATIONS AND SOLICITATIONS FILE.** Documents concerning donations and solicitations made by office personnel. File includes lists of participating organizations, rosters of participating employees, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

12. **EMERGENCY MANAGEMENT FILE.** Records concerning preparations for disasters and emergency management operations. File includes plans and procedures, lists of personnel roles and responsibilities in disaster situations, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

13. **EVACUATION PLANS FILE.** Emergency evacuation plans for local education agency.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

14. **FACILITY CONSTRUCTION RECORDS.** Records concerning the construction of new local education agency buildings and addition(s) to existing buildings. File includes blueprints formerly maintained by the Department of Public Instruction, construction change order records, architect's field order reports, design

records, performance bonds, insurance certificates, observation reports, inspections, completion certificates, specifications, correspondence, shop drawings and other related records.

DISPOSITION INSTRUCTIONS:

- a) Retain in office permanently final plans/blueprints and plumbing, electrical, and construction design specifications for approved and constructed facilities.
- b) Destroy in office remaining records 6 years after construction is completed.

15. **FIRE AND SAFETY FILE.** Records concerning office safety measures. File includes correspondence, inspection reports, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

16. **GOALS AND OBJECTIVES FILE.** Local education agency goals and objectives.

DISPOSITION INSTRUCTIONS:

- a) Transfer records with obvious historical value to the Histories File (item 19) after 3 years.
- b) Destroy in office remaining records after 3 years.

17. **GRANTS PROPOSALS FILE.** Proposals submitted for grants. File also includes applications, correspondence, and other related records. . (See also **STANDARD-2. BUDGET AND FISCAL RECORDS, FEDERAL GRANTS: APPLICATION RECORDS FILE** (item 26), page 11.)

DISPOSITION INSTRUCTIONS:

- a) Transfer records concerning approved grants to Grants File (item 18) immediately.
- b) Destroy in office rejected or withdrawn grant proposals when reference value ends.

18. **GRANTS FILE.** Records concerning approved grants administered by the local education agency. File includes administrative procedures, applications, reports, regulations and guidelines, correspondence, audit reports, and other related records. (See also **STANDARD-2. BUDGET AND FISCAL RECORDS, FEDERAL GRANTS: FINANCIAL RECORDS FILE** (item 27), page12.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

19. **HISTORIES FILE.** Records concerning the history of the organization and its employees.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

20. **INDEX FILE.** Location listings of specific information or records.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

21. **INSURANCE POLICIES FILE.** Insurance policies listing specific terms and conditions of coverage for buildings, liabilities, fire, vehicles, workers' compensation, and other related activities or property.

DISPOSITION INSTRUCTIONS: Destroy in office 10 years after expiration of policy.

22. **LITIGATION CASE FILE.** Correspondence and legal records concerning cases in which the local education agency is a party. (Comply with applicable provisions of G.S. §132-1.1 regarding confidentiality of legal records.)

DISPOSITION INSTRUCTIONS: Transfer to Litigation File (item 10) in Standard 3, Legal Records, when reference value ends.

23. **MANAGEMENT STUDIES FILE.** Internal studies conducted by administrators.

DISPOSITION INSTRUCTIONS:

- a) Transfer studies with obvious historical value to the Histories File (item 19) after 3 years.
- b) Destroy in office remaining records after 3 years.

24. **MEETINGS FILE.** Notes, memorandums, electronic tape recordings, and all other records (excluding minutes and agendas) for all types of meetings.

DISPOSITION INSTRUCTIONS: Destroy in office after approval of official minutes.

25. **MINUTES FILE.** Official copies of minutes of committees, commissions, and boards. (This is an essential agency record.)

DISPOSITION INSTRUCTIONS:

- a) Transfer all unmicrofilmed, signed minutes to the State Records Center to be microfilmed for security and returned.
- b) Transfer official signed photocopies of future minutes to the State Records Center after each meeting to be microfilmed for security.
- c) Retain in office original minutes permanently.

26. **ORGANIZATION CHARTS FILE.** Charts indicating administrative lines of responsibility.

DISPOSITION INSTRUCTIONS:

- a) Transfer official copy to Histories File (item 19) when superseded or obsolete.
- b) Destroy in office all other copies when superseded or obsolete.

27. **PETITIONS FILE.** Petitions signed by citizens requesting action by the local education agency.

DISPOSITION INSTRUCTIONS: Destroy in office after resolution of issue.

28. **PLANNING AND DEVELOPMENT FILE.** Records concerning the planning and development of special projects and programs. File includes proposals, development and implementation plans, schedules, and other related records.

DISPOSITION INSTRUCTIONS:

- a) Transfer records with obvious historical value to Histories File (item 18) when administrative value ends.
- b) Destroy in office remaining records when administrative value ends.

29. **POLICIES AND PROCEDURES FILE.** Policies and procedures concerning or affecting the local education agency.

DISPOSITION INSTRUCTIONS:

- a) Retain in office permanently official copy of local education agency initiated policies and procedures.
- b) Destroy in office reference copies and copies of policies and procedures initiated by outside agencies 1 year after superseded or obsolete.

30. **PROJECT FILE.** Correspondence, drafts, proposals, and other records concerning active or proposed projects.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after project ends.

31. **PROPERTY AND EQUIPMENT INVENTORY FILE.** Inventories of all local education agency owned equipment and property.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

32. **REFERENCE FILE.** Records concerning subjects of interest to office. File includes brochures, articles, publications, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

33. **REPORTS FILE.** Administrative reports submitted to or produced by the local education agency. File includes biennial, annual, monthly, periodic, quarterly, and other related reports. (See also **STANDARD-7. PROGRAM OPERATIONAL RECORDS**)

DISPOSITION INSTRUCTIONS:

- a) Retain in office 1 copy of biennial and annual reports permanently.
- b) Destroy in office all other reports after 3 years.

34. **RESEARCH AND STUDIES FILE.** External research and studies concerning office programs. File also includes publications, brochures, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

35. **RESOLUTIONS AND ORDINANCES FILE.** Resolutions and ordinances concerning various aspects of local education agency administration and business. Resolutions and ordinances list effective dates, issues or policies involved, approval signatures, and other related information. (This is an essential agency record.)

DISPOSITION INSTRUCTIONS:

- a) Transfer all unmicrofilmed, signed copies to the State Records Center to be microfilmed for security and returned.
- b) Transfer official signed photocopies of future resolutions and ordinances to the State Records Center to be microfilmed for security.
- c) Retain in office original records permanently.

36. **STATE AND/OR OTHER COUNTY PROGRAMS FILE.** Resource materials, program information, and other related records concerning other state or county programs.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

37. **TEMPORARY RECORDS FILE.** Records of a transient nature, which are created and maintained in the course of routine day-to-day local education agency operations. File consists of telephone messages, announcements, acknowledgements, confirmation of travel reservations, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends

STANDARD-2. BUDGET AND FISCAL RECORDS. Records created and accumulated incident to the managerial control, budgeting, disbursement and collection, and accounting of local education agency individual, local, and state school funds.

1. **ANNUAL BUDGET FILE.** Records concerning the budget process for the completed fiscal year. File includes lists of estimated federal, state, and county funding resources; allocation reports; revenue summaries; and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

2. **AUDIT REPORTS FILE.** Audit reports listing annual reconciliation of accounts of agency's financial activities.

DISPOSITION INSTRUCTIONS:

- a) Retain in office permanently 1 copy of each audit.
- b) Destroy in office other copies when reference value ends.

3. **AUTHORIZATION FORMS FILE.** Authorization forms for the purchase of materials or supplies.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

4. **BANK STATEMENTS, CANCELED CHECKS, DEPOSIT SLIPS, AND RECONCILIATIONS FILE.** Daily transaction records for all bank accounts maintained by the local education agency.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

5. **BIDS FOR PURCHASE FILE.** Requests for cost quotations for equipment, supplies, or services. File includes advertisements for bids, request for proposals, bid tabulations, bid bonds, cost estimates, accepted bids, guidelines and requirements for submitting proposals, award letters and correspondence, copies of purchase orders, and related materials. (File is used in purchasing contract items or services for which the cost must be known before purchase orders are issued.)

DISPOSITION INSTRUCTIONS: Destroy in office bids for purchase of materials, equipment and supplies after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

6. **BIDS FOR DISPOSAL OF PROPERTY FILE.** Requests for cost quotations to dispose of surplus local education agency property.

DISPOSITION INSTRUCTIONS: Destroy in office after recording in governing board minutes.

7. **BILLING/CLAIMS FILE.** Records concerning billings and claims for services rendered. File includes bills, claim reports, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

8. **BONDS AND COUPONS FILE, COUNTY.** Bonds, notes, and interest coupons purchased by the county which the local education agency serves. (See G.S. §142-13 and §159-139.)

DISPOSITION INSTRUCTIONS: Comply with G.S. §159-139.

9. **BOND PRINCIPAL AND INTEREST DUE, NOTICES OF.** Notices of bond principal and interest due.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

10. **BOND REGISTER FILE.** Register listing bonds and coupons destroyed by local education agency officials.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

11. **BUDGET FILE.** Records concerning the budget of the local education agency. File includes budget reports, requests for budget changes, budget authorizations, internal budgetary records, and other related records.

DISPOSITION INSTRUCTIONS:

- a) Destroy in office end-of-year (June 30) budget reports when reference value ends.
- b) Destroy in office remaining records after 5 years or when released from all audits, whichever occurs later.

12. **BUDGET CORRESPONDENCE FILE.** Correspondence concerning budget matters.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

13. **BUDGET ORDINANCES FILE.** Estimates of revenues and proposed expenditures for the coming year. File also includes amendments.

DISPOSITION INSTRUCTIONS:

- a) Record official copy in minutes of the governing board to be retained permanently.
- b) Destroy in office remaining copies after 3 years.

14. **CASH RECEIPTS FILE.** Cash receipts issued by agency.
- DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.
15. **CHECK REGISTER FILE, VARIOUS FUNDS.** Check registers for various funds. Registers list unit code, clerk number, date, amount, and other related information.
- DISPOSITION INSTRUCTIONS:
- a) Destroy in office computerized check register when released from all audits.
 - b) Destroy in office all other registers after 3 years.
16. **CONTRACT BUDGET AND EXPENDITURE REPORTS FILE.** Reports detailing local education agency budget transactions for contracted services or projects.
- DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.
17. **CREDIT CARD USE FILE.** Records concerning the use and possession of credit cards by local education agency employees. File includes receipts, lists of credit card numbers and to whom assigned, and other related records.
- DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.
18. **DAILY CASH REPORTS FILE.** Daily cash reports listing amounts received, disbursements, cash and invested balances, and other related information.
- DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.
19. **DAILY DETAIL REPORTS FILE.** Daily reports listing details of all financial transactions.
- DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends but within 6 years.
20. **DAILY JOURNAL AND LEDGER ENTRY UPDATE PRINTOUTS FILE.** Records concerning the posting of business transactions on a daily basis. File includes computer printouts listing daily journal and ledger entry updates.
- DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.
21. **DETAIL REPORT FILE (FINANCIAL RECORDS FOR GENERAL FUND OR GENERAL LEDGER).** Reports listing detail transactions and balances for the period in each account.

DISPOSITION INSTRUCTIONS:

- a) Destroy in office after 1 year and when released from all audits, whichever occurs later.
- b) Retain in office annual detail report (June 30th report) permanently.

22. **EMPLOYEE BENEFITS REGISTER FILE.** Monthly computer printout listing benefits paid to local education agency employees.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

23. **EMPLOYEE EARNING RECORDS FILE.** Earning records of local education agency employees. (See also item 42, Payroll File.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

24. **EXPENDITURE REPORTS FILE.** Reports summarizing monthly requests for reimbursement of agency expenditures.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

25. **FACILITY SERVICE AND MAINTENANCE AGREEMENTS FILE.** Records concerning services for local education agency facilities/assets. File includes maintenance agreements, facility/asset depreciation schedules, cost of space summaries, and other related records.

DISPOSITION INSTRUCTIONS:

- a) Destroy in office depreciation schedules 3 years after asset is fully depreciated or disposed.
- b) Destroy in office remaining records after 3 years and when released from all audits, whichever occurs later.

26. **FEDERAL GRANTS: APPLICATION RECORDS FILE.** Records concerning federal money applied for by a local education agency for Chapter I – VI projects and similar federal educational programs. File includes background application information, filing guidelines, grant applications, program amendments, approval letters, correspondence, contracts, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

27. **FEDERAL GRANTS: FINANCIAL RECORDS FILE.** Records documenting federal money spent by a local education agency for Chapter I – VI and similar federal educational programs. File includes audit reports, statistical reports, final expenditure reports, and other related records.

DISPOSITION INSTRUCTIONS:

- a) Retain in office permanently one copy of all audit reports.
- b) Destroy all financial records, supporting documentation, statistical records, and all other pertinent records 5 years from the date of submission of the final expenditure report. For awards that are renewed quarterly or annually, destroy in office 5 years from the date of the submission of the quarterly or annual financial report. If litigation, claim, audit, or other official action involving the records has been initiated, destroy in office after completion of action and resolution of issues involved.
- c) Destroy in office records for real property and equipment acquired with federal funds 5 years after final disposition.

28. **FINANCIAL JOURNALS AND LEDGERS FILE.** Financial journals and ledgers used for posting specific types of transactions as they occur each business day.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

29. **FISCAL CORRESPONDENCE FILE.** Correspondence concerning changes in budgets, budget codes, transfer of funds, request for additional or revised allotments, and other related topics.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

30. **INCREMENTS FILE.** Records concerning incremental increases in an employee's salary. File includes salary histories, authorization forms, and other related records. (See also item 42, Payroll File.)

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

31. **INSURANCE FILE.** Records concerning insurance coverage for each employee and his/her dependents. File includes descriptions of coverage and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

32. **INTERNAL REVENUE SERVICE (IRS) TAX FORMS FILE.** Completed IRS tax forms for agency and employees.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

33. **INVESTMENT RECORDS FILE.** Records concerning investments made by the local education agency. File includes descriptions of investments, lists of returns, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

34. **INVENTORIES OF PROPERTY AND EQUIPMENT FILE.** Inventories of property and equipment owned by the local education agency.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

35. **INVOICES FILE.** Invoices for the procurement of goods and services for the local education agency.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

36. **JOURNAL VOUCHERS FILE.** Record of vouchers issued on the local education agency treasury for payment of bills and claims approved by the board of county commissioners.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

37. **JOURNAL AND LEDGERS FILE.** Record of adjusted entries into the local education agency's books of account. Entries include general ledger number, account, debit, credit, transaction date reference, description, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

38. **LOCAL GOVERNMENT COMMISSION FINANCIAL STATEMENTS FILE.** Copies of financial reports forwarded to the Local Government Commission in compliance with G.S. §159-33 and §159-33.1.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

39. **LOCAL GOVERNMENT EMPLOYEES RETIREMENT SYSTEM MONTHLY REPORTS FILE.** Reports listing the retirement deductions from employees' salaries.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

40. **MONTHLY BUDGET REPORTS FILE.** Monthly reports listing budget balances, transactions, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

41. **PAID CHECKS, PAID BILLS/VOUCHERS FILE.** Records concerning individual account transactions. File includes paid bills and vouchers, canceled checks, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

42. **PAYROLL FILE.** Records listing earnings, withholdings, and other related information for permanent and temporary employees.

DISPOSITION INSTRUCTIONS:

- a) Transfer administrative records documenting personnel actions to appropriate individual personnel file when action is approved.
- b) Destroy in office remaining records after 3 years and when released from all audits, whichever occurs later.

43. **PAYROLL DEDUCTIONS FILE.** Records concerning deductions from each employee's salary. File includes deduction authorizations for insurance, parking, and other obligations, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

44. **PRICE QUOTATIONS FILE.** Price quotations from suppliers of goods and services.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

45. **PROCUREMENTS AND PURCHASING FILE.** Records concerning procurements and purchases for the local education agency. File includes purchase orders and requests, correspondence, shipping information, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

46. **PURCHASING REPORTS FILE.** Reports listing purchase order numbers, amounts spent on purchases, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

47. **RECIPIENT CHECK AND CANCELLATION REGISTERS FILE.** Cancellation registers providing verification that checks have been cashed.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

48. **RETIREMENT FILE.** Listings of retirement deductions, anticipated benefits, interest accrued, and other related topics.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

49. **SALES TAX FILE.** Records concerning the collection of sales and use taxes from various sources in an agency. File includes ledgers or journals, computer printouts listing amounts collected, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

50. **TELEPHONE LOGS (BILLINGS) FILE.** Logs used to record telephone calls, charges, and costs.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

51. **TIME REPORTS FILE.** Reports detailing time spent on program elements of the local education agency.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends but within 6 years.

52. **TRAVEL REIMBURSEMENTS FILE.** Requests for reimbursement for travel and related expenses.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

53. **TRAVEL REQUESTS FILE.** Requests for travel authorization and related correspondence.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

54. **VEHICLE MAINTENANCE FILE.** Records concerning the use and maintenance of agency vehicles. File includes maintenance schedules, mileage logs, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

55. **VOUCHER REGISTERS FILE, GENERAL EXPENSE AND PERSONAL SERVICE.** Voucher registers listing payment of funds for general expenses or personal services.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

56. **VOUCHERS FILE, VARIOUS FUNDS.** Vouchers providing verification of payments from various funds.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

57. **WITHHOLDING TAX FILE.** Forms detailing payroll withholding exemptions (state and federal) for each employee.

DISPOSITION INSTRUCTIONS:

- a) Transfer official copies to appropriate individual personnel file when action is taken.
- b) Destroy in office remaining records after 3 years and when released from all audits, whichever occurs later.

58. WORK PAPERS FILE. Working (internal) records concerning accounting, the budget, financial operations, internal audits, and other related activities or topics.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends but within 6 years.

STANDARD-3. LEGAL RECORDS. Legal records created or accumulated to substantiate the rights, obligations, or interests of the local education agency or an individual employee.

1. **CIVIL RIGHTS FILE.** Records concerning each civil rights case opened under Section 1983 of the Civil Rights Act. File includes petitions, writs, judgments, transcripts, and other related records.

DISPOSITION INSTRUCTIONS:

- a) Retain in office permanently all legal records, including court petitions, court orders, etc.
- b) Destroy in office remaining records such as working papers after completion of action and resolution of issues involved.

2. **COMPLAINTS (DISCRIMINATION) FILE.** Records concerning formal discrimination complaints and allegations filed against the local education agency. File includes complaints, summaries of findings, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

3. **CONTRACTS/AGREEMENTS FOR CONSTRUCTION, EQUIPMENT, AND SUPPLIES FILE.** Contracts and agreements, with supporting documents, entered into by the local education agency for construction projects, equipment, and supplies.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after termination or expiration if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

4. **CONTRACTS/AGREEMENTS FOR PURCHASE OF SERVICES, SPECIAL PROGRAMS, AND PROJECTS FILE.** Contracts and agreements, with supporting documents, entered into by the local education agency for the purchase of services, special programs, and projects.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after termination or expiration if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

5. **CORRESPONDENCE (LEGAL) FILE.** Correspondence concerning legal matters of the local education agency. (Comply with applicable provisions of G.S. §132-1.1 regarding confidentiality of legal correspondence.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

6. **EASEMENTS FILE**. Records concerning the county's right to limited use of private property. File includes copies of easements, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

7. **EQUAL EMPLOYMENT OPPORTUNITY COMMISSION (EEOC) FILE**. Records concerning local education agency compliance with federal EEOC regulations. File includes rules and regulations, compliance reports, correspondence, and other related records. (Information in file does not relate to specific legal cases.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

8. **INSURANCE POLICIES FILE**. Insurance policies entered into by the local education agency for coverage for buildings, liabilities, fire, vehicles, workers' compensation, and other related topics.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after termination or expiration if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

9. **LEASES FILE**. Leases, with supporting documents, entered into by the local education agency.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after termination or expiration if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

10. **LITIGATION FILE**. Records concerning litigation in which agency is a party. File includes legal opinions and briefs, correspondence, affidavits, photographs, medical reports, records of appeals, and other related records used in preparing proceedings. (Portions of file may be considered confidential in accordance with G.S. §132-1.1.)

DISPOSITION INSTRUCTIONS:

- a) Retain in office official copy permanently.
- b) Destroy in office reference or duplicate copies 3 years after case is closed.

11. **OATHS OF OFFICE FILE**. Oaths of office taken by agency officials.

DISPOSITION INSTRUCTIONS:

- a) Transfer official copy to clerk of superior court immediately.
- b) Destroy in office reference copies 3 years after official termination.

12. **ORDINANCES FILE.** Reference copies of ordinances adopted by the governing board.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after termination of ordinances.

13. **OWNERSHIP RECORDS (DEEDS, TITLES) FILE.** Deeds and titles for land that has been acquired by the local education agency and board of education.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

14. **VEHICLE TITLES FILE.** Titles of state-owned vehicles used by agency.

DISPOSITION INSTRUCTIONS: Dispose of in accordance with instructions of State Property Office upon disposition of vehicle.

15. **WARRANTIES FILE.** Warranties accompanying equipment or commodities purchased by agency.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after expiration of warranty.

STANDARD-4. MACHINE READABLE AND ELECTRONIC RECORDS. This standard applies to any electronic data, information, or word processing, as well as other machine readable records in the physical and legal custody of the local education agency. Such records may exist on mainframe computer systems, supermini and minicomputer systems, microcomputers linked in a local area network, or individual personal computers (PCs). If there are any questions concerning the public status of machine readable records that local education agency officials wish to destroy or erase, they should seek the advice of legal counsel and the N.C. Division of Archives and History.

The N.C. Division of Archives and History has created guidelines for establishing methods and procedures in the preparation of records produced by information technology systems. These guidelines apply not only to optical disk and CD ROM systems but also to more established media such as micrographic and magnetic disk or tape. Implementation of these guidelines should increase the reliability and accuracy of records regardless of the storage media employed, thereby enhancing their admissibility and acceptance by the courts as trustworthy. A copy of *North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems* is available to any public agency and can be obtained by contacting the N.C. Division of Archives and History at (919) 733-7305 or by accessing the Internet.

Custodians of machine readable and electronic public records should familiarize themselves with the revised Public Records Law (G.S. §132). Provisions of this statute require public agencies to create an index of computer databases and outline requirements for providing copies of public records kept in various formats. To assist agencies in developing the index mentioned above, *Public Database Indexing Guidelines and Recommendations* has been established by the N.C. Division of Archives and History. A copy of this publication can be obtained by calling the number or accessing the Internet.

This standard is unique in that it identifies records by format. If a record exists only in machine readable form, the records custodian is advised to check the other sections of this schedule to see if the record under consideration is listed under a functional heading. If the record is listed in another section of this schedule, follow the minimum retention period listed to determine when the record may be deleted, erased, or destroyed. If the record is not listed in another section of this schedule, follow the disposition instructions listed below for machine readable records.

In many cases the same or similar official public records will exist in both machine readable and hard copy form. In this situation, the disposition instructions included here should be used in conjunction with disposition instructions included elsewhere in this schedule. For example, if payroll information is kept in both machine readable and hard copy format, first determine which format constitutes the official public record (it may be determined that both formats are official or that the paper copy is a duplicate working copy, or that the computer record is the duplicate working copy). Once it has been determined which format constitutes the official payroll record, follow the general instructions below which apply to the handling of computer records and/or the specific instructions for payroll records included in Standard-2, Budget and Fiscal Records. Whatever the format, when a specific retention period for a particular record series is included within a section of this schedule the record series must be retained for that time.

1. **MASTER FILES.** Electronic data processing, information processing, and word processing public records, produced by various computer system applications used in the local education agency. Master files may reside on magnetic tapes, magnetic disks, floppy diskettes, or optical disk.

DISPOSITION INSTRUCTIONS:

- a) Duplicate copies may be erased/destroyed at the discretion of the agency.
- b) Back-up by copying all official master files containing public records and store the copy at a secure, protected, off-site location. Public records custodians should update these back-up files periodically by erasing and/or exchanging the tapes or disks, etc., as

necessary.

- c) Erase electronic mail public records when reference value ends except those that specifically concern an agency's policies, procedures, directives, regulations, rules, and other information that might provide the public with evidence of the organization, functions, and accomplishments of the agency. Print to hard copy records that fit this description and follow the disposition instructions listed under Standard 1, Administration and Management Records. (For additional information, see *Electronic Mail as a Public Record in North Carolina* on page xi.)
- d) The erasure or destruction of any other machine readable master file containing public records which is not listed above or by function elsewhere in this schedule is not authorized by this public records retention and disposition schedule. Public records custodians with unlisted or unscheduled machine readable master files of no further value to the agency should either complete and submit Form **RC-MRR-1** (copy of form on page 53) to the Department of Cultural Resources for approval for the master files' erasure/destruction or arrange with the Division of Archives and History to inventory, appraise, and schedule in a jointly approved document all such master files containing public records.

- 2. **PROCESSING FILES.** Machine readable processing files used in the preparation of, or in conjunction with, master files for various computer system applications operated by local education agency.

DISPOSITION INSTRUCTIONS:

- a) Duplicate copies may be erased/destroyed at the discretion of the agency.
- b) Erase and/or update official copies of processing files when the final master file is created, if agency need has ended. The Department of Cultural Resources and the Department of State Auditor recommend that processing files be retained for three (3) cycles [son, father, grandfather].

- 3. **SYSTEMS DOCUMENTATION.** Machine readable records or paper documentation used and needed to run master or processing files.

DISPOSITION INSTRUCTIONS:

- a) Duplicate copies may be erased/destroyed at the discretion of the agency.
- b) Erase and/or destroy in office official copies when agency value ends except systems documentation concerning master files as described in paragraph 1d on this page. Public records custodians should either complete and submit Form **RC-MRR-1** (copy of form on page 53) to the Department of Cultural Resources for concurrence in the master files' erasure/destruction or arrange with the Division of Archives and History to inventory, appraise, and schedule in a jointly approved document all master file documentation.

STANDARD-5 OFFICE ADMINISTRATION RECORDS. Records created and accumulated in the performance of routine office administration tasks by the local education agency.

1. **ASBESTOS MANAGEMENT PLAN FILE.** Plans and records concerning a local education agency's efforts to manage facilities either containing asbestos building materials or believed to contain asbestos building materials. File includes surveillance reports and other records showing school name, construction date, sample number, percent, type, original condition, any change, recommendations, and signature of person doing inspection.

DISPOSITION INSTRUCTIONS: Retain in office for life of structure, or destroy in office 10 years after abatement if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

2. **BUILDING SPACE AND MAINTENANCE FILE.** Records concerning maintenance and repair services conducted for each building and facility. File includes correspondence, maintenance schedules and agreements, space need studies, contracts, and other related records.

DISPOSITION INSTRUCTIONS:

- a) Destroy in office maintenance agreements and contracts 3 years after termination or expiration if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.
- b) Destroy in office remaining records when administrative value ends.

3. **CALENDAR OF EVENTS FILE.** Listings of upcoming agency events.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

4. **COURIER SERVICE FILE.** Records concerning courier service. File includes courier directories, mailing instructions, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

5. **EMERGENCY NOTIFICATION FILE.** Records concerning the notification of personnel in the event of an emergency. File includes duty rosters, emergency notification forms, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

6. **EQUIPMENT FILE.** Records concerning local education agency equipment and supplies. File includes operating manuals, warranties, service contracts, inventories, accounting records, and other related records.

DISPOSITION INSTRUCTIONS:

- a) Destroy in office operating manuals and warranties upon final disposition of equipment.

- b) Destroy in office service contracts 3 years after superseded or obsolete if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.
- c) Destroy in office accounting records after disposition of equipment and when released from all audits, whichever occurs later.
- d) Destroy in office remaining records when superseded or obsolete.

7. **FACILITY ACCESSIBILITY RECORDS FILE.** Records concerning a local education agency's efforts to comply with the Americans with Disabilities Act (ADA). File includes surveys of local education agency schools and other buildings to determine accessibility to the physically handicapped, copies of federal regulations, proposals for compliance, correspondence, resolutions, and measures taken to solve access problems.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

8. **FUEL OIL AND STORAGE TANK RECORDS FILE.** Records concerning the testing and maintenance of local education agency fuel oil, heating oil, and/or propane storage systems. File includes leak detection test results, repair and upgrade reports, performance claims, tightness test results, and closure records.

DISPOSITION INSTRUCTIONS:

- a) Destroy in office closure records 3 years after completion of permanent closure in accordance with G.S. §280.32 and 280.72.
- b) Destroy in office performance claims and tank tightness tests completed every 5th year after 5 years.
- c) Destroy in office maintenance reports, repair and upgrade reports, product inventory measuring charts, tank tightness tests completed on a yearly schedule, and all other test and related records after 1 year.

9. **FUND DRIVE RECORDS FILE.** Records concerning fund drives sponsored by the local education agency. File includes lists of events and participating organizations, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

10. **MAILING LISTS FILE.** Mailing lists of individuals/agencies receiving materials from the local education agency.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

11. **MOTOR POOL LOGS FILE.** Motor pool logs listing name of driver, trip dates, places of travel, odometer readings, amount of mileage charge, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.
12. **OFFICE ADMINISTRATION CORRESPONDENCE FILE.** Correspondence concerning daily operating functions and routine performance of duties of the local education agency.

DISPOSITION INSTRUCTIONS: Destroy in office when agency value ends but within 3 years.
13. **OFFICE SECURITY RECORDS FILE.** Records concerning security of the local education agency. File includes security-related procedures, lists of designated security officers, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.
14. **PARKING FILE.** Correspondence and memorandums concerning parking assignments for local education agency.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.
15. **PRINTING REQUEST FILE.** Requisitions for printing jobs.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.
16. **PUBLICATIONS RECEIVED FILE.** Publications received by the local education agency.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends but within 2 years.
17. **READING FILE.** Copies of outgoing correspondence.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, but within 1 year.
18. **RECORDS MANAGEMENT FILE.** Records concerning records management for the local education agency. File includes records retention and disposition schedules, state guidelines, file plans, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.
19. **SURPLUS PROPERTY FILE.** Records concerning surplus property and its disposition. File includes inventories, records of disposal, accounting records, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after disposition of property and when released from all audits, whichever occurs later.

20. **VEHICLE REQUEST FILE.** Completed forms used to request local education agency vehicles.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

21. **WORK ORDERS (EQUIPMENT REPAIR) FILE.** Work orders submitted for the repair of equipment.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after completion of work.

STANDARD-6. PERSONNEL RECORDS. Records created and accumulated incident to the employment, qualifications, training, and pay status of local education agency employees.

1. **ABOLISHED POSITION FILE.** Records concerning positions that have been abolished. File includes position descriptions for abolished positions and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

2. **ADDRESSES FILE.** Listing of employees' addresses and telephone numbers.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

3. **AFFIRMATIVE ACTION FILE.** Records concerning local education agency compliance with federal affirmative action regulations. File includes plans, outlines, timetables, goals and objectives, compliance reports, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

4. **APPLICATIONS/RESUMES FILE.** Completed application forms for employment. File also includes resumes and other related records. (Comply with applicable provisions of G.S. §153A-98, §115C-319, 320, and 321 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS:

- a) Transfer applications of individuals hired to appropriate personnel file when individual accepts position.
- b) Destroy in office applications that are unsolicited and for individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.

5. **CORRESPONDENCE/MEMORANDUMS FILE.** Correspondence and memorandums concerning personnel related matters.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

6. **DEFERRED COMPENSATION FILE.** Records concerning the deferred compensation program for employees. File includes payroll deduction authorization forms, lists of compensation options, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

7. **DISABILITY SALARY CONTINUATION CLAIMS FILE.** Completed forms submitted by disabled employees applying for salary continuation benefits.

DISPOSITION INSTRUCTIONS:

- a) Transfer original forms to Teachers' and State Employees' Retirement System for action when received.
- b) Destroy in office reference copies after 1 year.

8. **DRUG AND ALCOHOL PROGRAMS RECORDS FILE.** Records concerning a local education agency's drug and alcohol use prevention programs. File includes testing and equipment calibration records, driver evaluations and referrals, collection logbooks, and technician training records. (49 CFR 382.401D)

DISPOSITION INSTRUCTIONS:

- a) Destroy in office positive test results, refusals to take tests, equipment calibration records, driver evaluations and referrals, and annual calendar year summaries after 5 years.
- b) Destroy in office records concerning the drug and alcohol collection process, collection logbooks, and technical training records after 2 years.
- c) Destroy in office negative and canceled test results, and test results with concentrations of less than 0.02 after 1 year.

9. **DUAL EMPLOYMENT FILE.** Records concerning employees engaged in dual employment. File includes summaries of dual employment activities.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

10. **EDUCATIONAL LEAVE/REIMBURSEMENT FILE.** Records concerning educational leave and/or tuition reimbursement. File includes requests for leave/reimbursement, authorizations, and other related records.

DISPOSITION INSTRUCTIONS:

- a) Destroy in office records concerning approved requests when released from all audits.
- b) Destroy in office records concerning disapproved requests 6 months after disapproval.

11. **EMPLOYEE SUGGESTIONS (ES) FILE.** Information concerning suggestions of employees received through the ES System.

DISPOSITION INSTRUCTIONS:

- a) Destroy in office adopted suggestions after 2 years.
- b) Destroy in office non-accepted suggestions after 1 year.

12. **EQUAL EMPLOYMENT OPPORTUNITY FILE**. Records concerning local education agency compliance with federal Equal Employment Opportunity Commission (EEOC) regulations. File includes regulations, guidelines, policies, compliance reports, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

13. **FRINGE BENEFITS FILE**. Records concerning fringe benefits available to employees. File includes descriptions of benefits, participation registration forms, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

14. **GRIEVANCE FILE**. Records concerning disputed employee grievances. File includes letters of grievance, hearing records, and other related records. (File is considered part of employee's official personnel file and is considered confidential in accordance with G.S. §153A-98, §115C-319, 320, and 321, and §132-1.1.)

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after resolution of grievance.

15. **HEALTH CERTIFICATES FILE**. Certificate from a licensed physician verifying that the employee does not have any communicable disease or any disease, physical or mental, which would impair the ability of the employee to perform his/her duties effectively. (G.S. §115C.323)

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after employee terminates service.

16. **INITIAL CERTIFICATION PROGRAM FILE**. Records used to observe and evaluate teachers during their initial certification period. File includes classroom observation forms and logs, in-task documentation forms, recommendation forms, and professional development plans. (Comply with applicable provisions of G.S. §115C-319, 320, 321, and G.S. §153A-98 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office 5 years from date of initial employment if not made part of employee's permanent personnel file.

17. **INSURANCE DEDUCTIONS PRINTOUTS FILE**. Computer printouts showing insurance payroll deductions for each local education agency employee.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

18. **INTERVIEWS FILE**. Interviewers' comments concerning individuals applying for employment. (Comply with applicable provisions of G.S. §153A-98 and §115C-319, 320, and 321 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS:

- a) Transfer records concerning individuals hired to appropriate personnel file when individual accepts employment.
- b) Destroy in office records concerning individuals not hired 2 years after date of receipt, if

no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.

19. **JOB EVALUATION DESCRIPTION FILE.** Completed forms used to evaluate and describe the primary purpose of a job.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

20. **LEAVE FILE.** Records concerning leave by office personnel. File includes leave requests, monthly leave reports, yearly leave recapitulations, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

21. **LONGEVITY PAY REQUESTS FILE.** Records concerning employees eligible for longevity pay. File includes longevity pay requests and authorization forms, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

22. **MERIT FILE.** Records used by supervisors to evaluate employees being considered for a merit increase. File includes listings of merit increase criteria, evaluations, and other related records. (Comply with applicable provisions of G.S. §153A-98 and §115C-319, 320, and 321 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

23. **PERFORMANCE PLANNING AND EVALUATIONS FILE.** Records concerning employees' goals and primary tasks. File includes work plans, performance evaluations, and other related records. (Comply with applicable provisions of G.S. §153A-98 and §115C-319, 320, and 321 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

24. **PERSONNEL RECORDS FILE.** Personnel file for each local education agency employee. File includes or concerns records relating to individual's aggregate service history, applications, selection or non-selection, promotions, transfers, leave, salary, suspension, disciplinary actions, and termination of employment. (Comply with applicable provisions of G.S. §153A-98 and §115C-319, 320, and 321 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

25. **POLICIES AND PROCEDURES FILE.** Personnel rules, regulations, or guidelines established by the State Personnel Commission, Office of State Personnel, county, or local education agency.

DISPOSITION INSTRUCTIONS:

- a) Retain in office permanently official copy of internal agency personnel policies.
- b) Destroy in office reference copies and external policies and procedures when superseded or obsolete.

26. **POSITION CLASSIFICATION AND POSITION CLASSIFICATION - POSITION HISTORY (PD-118R) FILE.** Classification records and complete histories of salaried positions within the local education agency and board of education.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

27. **POSITION CONTROL FILE.** Index cards or computerized databases concerning personnel actions and position control, status of each established permanent/temporary full-time or part-time position, and other related topics.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

28. **SERVICE AWARDS FILE.** Listings of employees eligible for and receiving service awards.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years from date of award.

29. **TEACHERS' CERTIFICATES FILE.** Certificate issued when the teacher achieves a passing score on the standard examination, which determines his/her academic and professional preparation to teach. (G. S. §115C-296)

DISPOSITION INSTRUCTIONS: Return to teacher upon termination of employment

30. **TRAINING RECORDS FILE.** Records concerning courses taught by the local education agency to improve competency of personnel. File includes schedules, course curricula, attendance rosters, names of instructors, course materials, brochures announcing and describing courses offered, and other related records. (See also **TRAINING RECORDS (PERSONNEL) FILE**).

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

31. **TRAINING RECORDS (PERSONNEL) FILE.** Records documenting the training of local education agency personnel to improve competency in specific areas. File includes teacher resource and computer training center certificates, competency records describing courses taken, completed, and credit earned, and other related records.

DISPOSITION INSTRUCTIONS:

- a) Transfer original records to the central office to be incorporated into official personnel file upon completion of training.
- b) Destroy in office reference copies when administrative value ends.

32. **WORKERS' COMPENSATION PROGRAM ADMINISTRATIVE FILE.** Records concerning the administration of workers' compensation programs or policies. File includes regulations, guidelines, policies, reports, correspondence, reference material, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

33. **WORKERS' COMPENSATION PROGRAM CLAIMS FILE.** Records concerning workers' compensation claims by local education agency employees. File includes accident and medical reports, affidavits, medical bills, photographs, legal briefs, court documents, transcripts, legal opinions, appeals, and other related records. (Portions of file may be considered confidential in accordance with G.S. §97-92(b).)

DISPOSITION INSTRUCTIONS:

- a) Transfer official copies to Industrial Commission in accordance with G.S. §97-92 when claim is filed.
- b) Destroy in office remaining records 5 year after claim is closed.

STANDARD-7. PROGRAM OPERATIONAL RECORDS. Records created or received in the offices of the local education agency and used to manage and monitor all federal, state, and local school programs.

A. EDUCATIONAL PROGRAM RECORDS. Records used for the administration of various educational programs.

1. ACADEMICALLY OR INTELLECTUALLY GIFTED CHILDREN'S PROGRAMS. Records concerning educational programs for academically or intellectually gifted children.

a) CLASSES AND LISTS FILE. Lists of classes available to gifted children and due process lists of academically or intellectually gifted children's programs.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

b) GROUP EDUCATION PLAN FILE. Consent for evaluation form, summary of evaluation results, student information sheet, consent for placement form, aptitude and achievement tests, performance records and reports, and records describing a student's interest and degree of motivation.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after student leaves the educational program for a academically or intellectually gifted children.

2. DRIVER EDUCATION PROGRAMS. Records concerning driver education programs.

a) APPLICATION FOR APPROVAL TO TEACH DRIVER EDUCATION FILE. Applications and approvals to teach driver education. File also includes Division of Motor Vehicles or Department of Public Instruction certifications.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

b) AUTO LOAN OR LEASE AGREEMENTS FILE. Auto loans or lease agreements.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after termination or expiration if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

c) CAR RECORDS FILE. Daily checklist showing condition of car and record of car repair expenditures prepared by teachers.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years and when released from all audits, whichever occurs later.

d) DRIVER ELIGIBILITY FILE. Records concerning students' eligibility to obtain learner's permits or provisional drivers licenses. Files includes driving eligibility certificates, driving eligibility hardship request forms and supporting documents, permit or license revocation letters, driver education completion certificate, and other related records.

DISPOSITION INSTRUCTIONS:

a) Transfer driver education completion certificate to student's North Carolina cumulative record when issued.

b) Destroy in office remaining records when student reaches 18 years of age or obtains a high school diploma or its equivalent, whichever occurs first.

- e) **MONTHLY REPORTS ON DRIVER TRAINING AND SAFETY EDUCATION FILE.** Monthly reports listing numbers of students participating in driver training and safety education programs and other statistical information.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

- f) **PERSONAL SERVICE AND GENERAL EXPENSE AND SUMMARY VOUCHER REGISTERS FILE.** Records concerning payment for contract driver education instructors and expenditures made by instructors. File includes general expense and summary voucher registers, payment records for instructors, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

- g) **PROPOSED PLANS OF OPERATION AND BUDGETS FILE.** Proposed operational and budgetary plans for driver education programs.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

- h) **STUDENT AND CLASS RECORDS FILE.** Students' class attendance and driving grade records.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

- i) **TIME SHEETS FILE.** Records summarizing students' time behind the wheel.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

3. **EDUCATIONAL PROGRAMS FOR CHILDREN WITH DISABILITIES.** Records concerning educational programs for children with disabilities.

- a) **CONFIDENTIAL RECORDS OF CHILDREN WITH DISABILITIES FILE.** Records concerning children with disabilities who are in educational programs. File includes achievement results; intelligence, eligibility, and physical test results; medical reports if the student is physically or mentally impaired; individual education plans (IEPs) and forms; multidisciplinary team reports; and screening, placement, referral, and parental consent and notification forms. (Comply with applicable provisions of G.S. §115C-114 and 115C-402 regarding confidentiality and expunction of records of students with special needs.)

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after student leaves the education program for children with disabilities if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

*The parent, guardian, surrogate parent, or eligible student must be notified prior to destruction of personally identifiable information so copies of records can be provided if desired. Information must also be destroyed at the request of the parents if no longer needed to provide educational services to the child. This does not apply to such information as the student's name, address and phone number, grades, attendance records, classes attended, grade level completed, and year

completed. This information may be maintained permanently. (See Appendix I on page 45 regarding federal legislation affecting the destruction and amendment of student records.)

- b) **PROGRAMMATIC PLANS OF OPERATION FILE**. Operating plans for educational programs for children with disabilities.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

- c) **TEXTBOOKS AND OTHER EQUIPMENT FILE**. Inventories of textbooks and special equipment needed for students participating in educational programs for children with disabilities.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

4. **VOCATIONAL EDUCATION RECORDS**. Records concerning vocational education programs.

- a) **ACTIVITY, CLASS, AND WORK SCHEDULES FILE**. Activity, class, and work schedules.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

- b) **COOPERATIVE AND PREPARATORY TRAINING FORMS**. Cooperative agreements between local education agency and businesses that outline program rules and policies, expectations for students, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

- c) **INSTRUCTIONAL PERSONNEL FILE (RECORDS AND REPORTS OF)**. Certificates, board appointments, and other related records concerning instructional personnel.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

- d) **INVENTORIES OF EQUIPMENT FILE**. Inventories of supplies and equipment used in vocational education programs.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

- e) **NORTH CAROLINA BOARD OF EDUCATION ALLOTMENTS OF TEACHING POSITIONS FILE**. Records indicating the allotment of instructional personnel for vocational education programs as determined by the state board of education. File also includes waivers and allotment adjustments.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 year.

- f) **STUDENT ENROLLMENT AND FOLLOW-UP RECORDS FILE**. Follow-up studies of former students of vocational education programs.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

- g) **VOCATIONAL COMPETENCY ACHIEVEMENT TRACKING SYSTEM (VOCATS) (ELECTRONIC) FILE**. VOCATS is an electronic data processing record used by the local education agency to manage statistics and generate reports concerning vocational education students' pre-test, post-test, mastery, and gain for skills and performance standards established by the North Carolina Board of Education.

DISPOSITION INSTRUCTIONS: General guidelines for disposing of machine readable and electronic data processing records may be found in **STANDARD-4. MACHINE READABLE AND ELECTRONIC RECORDS.**

VOCATS data and statistics should be retained in electronic form for 5 years after applicable statistical reports are produced and then erased or deleted.

- h) **VOCATIONAL EDUCATION INFORMATION SYSTEM (VEIS) (ELECTRONIC) FILE.** VEIS is an electronic data processing record used by the local education agency to manage statistics and produce reports concerning student enrollment in vocational education programs. It is also used to track performance standards established by the North Carolina Board of Education.

DISPOSITION INSTRUCTIONS: General guidelines for disposing of machine readable and electronic data processing records may be found in **STANDARD-4. MACHINE READABLE AND ELECTRONIC RECORDS.**

VEIS data and statistics should be retained in electronic form for 5 years after applicable statistical reports are produced and then erased or deleted.

- i) **VOCATIONAL PLACEMENT RECORDS FILE.** Records concerning the placement of students enrolled in a local education agency's vocational and technical programs. File includes apprenticeship and cooperative placement records and reports showing name of student, company by whom employed, job title, percentage of students placed, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

- j) **VOCATIONAL PLANS FILE.** Plans and records concerning the development of a local education agency's vocational and technical programs. File includes comprehensive descriptions of programs which list courses taught, levels of enrollment by program and school, funds spent, comparative testing data, placement data, outlines of objectives for future improvement, requests for funds and teaching positions for upcoming academic year, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years and when administrative value ends, whichever occurs first.

- k) **VOCATIONAL PROGRAMS OF STUDY GUIDES FILE.** Guides published by the Department of Public Instruction to assist the local education agency in planning effective and comprehensive vocational education programs. Guides list information concerning planning, required resources, program curricula, instructional guidelines, and specific program area offerings such as agricultural, business, health occupations, marketing, and technology education.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

- l) **VOCATIONAL STATISTICAL REPORTS FILE.** Reports produced by the Vocational Education Information System (VEIS) (Electronic) and Vocational Competency Achievement Tracking System (VOCATS) (Electronic) files. File includes reports and similar records showing student enrollment in vocational programs at each school within a local education agency by course, gender, race, and future educational or employment goals. Information found in reports is used to develop a local education agency's vocational plan.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

- B. **FOOD SERVICE RECORDS.** Records used to manage food service programs.

1. **FOOD SERVICE PROGRAMS FILE.** Records concerning food service programs. File includes daily, weekly, and monthly reconciliation reports; daily meal production records; commodity inventory reports; receipt reports; analysis reimbursement/claim reports; verification reports; and other related records created according to U.S. Department of Agriculture regulations. (Records may be maintained at the individual school or at the central office.)

DISPOSITION INSTRUCTION: Destroy in office after 3 years and when released from all audits, whichever occurs later.

2. **FOOD SERVICE REPORTS FILE.** Quarterly report sent to the Department of Public Instruction listing total receipts and expenditures from food service programs. Reports list debits, credits, account numbers, account descriptions, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

3. **FREE AND REDUCED MEALS APPLICATIONS FILE.** Applications for free and reduced price meals completed by sponsor of applying student(s). Applications list names of household members, monthly income statements, signature and social security number of sponsor, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

C. **INDIVIDUAL SCHOOLS' AND CENTRAL OFFICE ADMINISTRATIVE RECORDS.** Records created and maintained by teachers, guidance counselors, principals, and central office staff in the performance of job-related activities.

1. **ANNUAL DROPOUT REPORTS FILE.** Annual reports concerning students who have dropped out of school and their demographic information.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

2. **ATHLETIC PROGRAM RECORDS FILE.** Records concerning athletics programs. File includes student eligibility records, physical exams, parental consent forms, waivers, application forms, entry forms, schedules, participation requirement forms, and related records. File also includes handbooks and forms produced by the North Carolina High School Athletic Association.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

3. **CURRICULUM RECORDS FILE.** Records used to establish course requirements in the various areas of study such as vocational and technical programs, English, foreign language, mathematics, social sciences, fine and performing arts, and healthful living. File includes records concerning philosophy and scope of programs and courses, approved instructional resources, objectives, methods of evaluation, handbooks, curriculum course guides, assessment guides, and testing guides.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

4. **DATA ENTRY RECORDS FILE.** Records used by data managers to input information into the Student Information Access System, Transportation Information Management System, Vocational

Education Information System, Vocational Competency Tracking System, or similar computer system.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

5. **EXCEPTIONAL CHILDREN HEADCOUNT REPORTS FILE**. Biannual reports listing statistics concerning exceptional children. Reports are used as a basis for federal funding and individualized student funding.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

6. **FIELD TRIP AUTHORIZATIONS FILE**. Records concerning the approval or disapproval for students to leave school on field trips. Authorizations list date of trip, purpose of trip, trip destination, trip itinerary, and other related information. File may also include parental consent forms.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

7. **FIRE DRILL AND INSPECTION REPORTS FILE**. Fire drill and facility inspection reports (G.S. §115C-288(d)) prepared by five marshals or inspectors and sent to the central office.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

8. **GUIDANCE RECORDS FILE**. Records concerning counseling sessions held with students. File includes guidance and counseling records, parental consent forms to release information, scholarship and award information, records concerning student's grades and course selection, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

9. **ONCE A YEAR REPORTS ON GRADE, RACE, AND SEX FILE**. Annual reports concerning the race and sex of students in each grade.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

10. **PARENT CONFERENCE RECORDS FILE**. Records concerning conferences between parents, teachers, and/or other school officials. File includes correspondence, parent conference forms outlining reason(s) for conference and actions, if any, taken, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

11. **PRINCIPAL'S MONTHLY REPORTS FILE**. Monthly report prepared by each school's principal and sent to the central office. Monthly reports list total number of student enrollments and withdrawals for given month; date and time report was run; and school's name, address, and phone number.

DISPOSITION SCHEDULE: Destroy in office after 5 years or when administrative value ends, whichever occurs later.

12. **REGIONAL ARTICULATION PLACEMENT RECORDS FILE**. Records used to report a student's completion of course work, which could be used for credit at an area college or university. Reports list student's name, address, phone number, social security number, high school attended, description of course(s) taken along with final grade, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office 2 years after graduation.

13. **RESIDENCE VERIFICATION FILE**. Completed forms and supporting documents verifying students residence.

DISPOSITION INSTRUCTIONS: Destroy in office after 8 years.

14. **SCHOLARSHIP PROGRAM RECORDS FILE**. Records concerning student scholarships and honor societies. Files include scholarship applications, lists of eligible students, lists of winners and alternates, teacher evaluations and comments, and lists of students selected for National Honor Society membership.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

15. **SCHOOL ACTIVITY REPORTS FILE**. Annual reports concerning students and their classroom assignments, students' classroom settings, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

16. **SCHOOL LIBRARY/MEDIA CENTER RECORDS FILE**. Records concerning the management of school libraries. File includes library material accession records, circulation records; holding catalogs; patron assistance, request, and complaint procedures; collection shelf lists; and records concerning payments made for late, damaged, or lost library materials.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

17. **SCHOOL REPORTS AND STUDENT LISTS FILE**. Reports and lists prepared by various programs. File includes school activity reports, principal's and teacher's monthly reports, membership by grade/ethnic/sex code reports, individual pupil reports, academic progress reports, homeroom lists, counselor lists, study hall lists, student rosters, exceptional children rosters, class lists, grade point average ranking lists, honor roll lists, and similar records.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years or when superseded, obsolete, or administrative value ends, whichever occurs first.

18. **SCHOOL SANITATION MONTHLY REPORTS FILE**. Reports outlining sanitation grades at schools.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

19. **SCHOOL VIOLENCE REPORTS FILE**. Reports on school violence completed by each principal and sent to the Department of Public Instruction in accordance with G.S. §115C-12(21) and §115C-47(36). Reports list name of school, type of school, number of incidents reported, number of offenders and victims, actions taken by number and type, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years and when administrative value ends, whichever occurs later.

20. **SECOND MONTH REPORTS FILE**. Reports filed with the North Carolina Board of Education at the end of the second month of each school year (G.S. §115C-301(f)). Reports list the organization for each school, teachers' duty loads, class sizes, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

21. **STATISTICAL REPORTS FILE**. Reports prepared by the Department of Public Instruction and used by a local education agency for planning and long range tracking of programs. Reports include state of the state, SAT, ABC's of public education, block schedule achievement, report card, alternative learning evaluation, student performance, behavior survey, testing results reports, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, but within 5 years.

22. **STUDENT HANDBOOK FILE**. Handbooks or similar records supplied to students at the beginning of each school year. Handbooks list attendance policy, disciplinary policies and procedures, graduation requirements, academic policies, and general school rules and regulations.

DISPOSITION INSTRUCTIONS:

- a) Retain 1 copy in office permanently.
- b) Destroy remaining copies when administrative value ends.

23. **TEACHER LESSON PLANS FILE**. Records used by teachers for the classes or subjects they are instructing. File includes worksheets, discussion notes, problem-solving materials, and other related records used to obtain an instructional objective.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

24. **TEACHER SCHEDULING RECORDS FILE**. Records and reports documenting teachers' course schedules and timetables. File includes teacher timetables reports, room timetables reports, course load by teacher reports, teacher directories and similar records.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years or when superseded, obsolete, or administrative value ends, whichever occurs first.

- D. **STUDENT RECORDS**. Records concerning students in the schools administered by the local education agency.

Custodians of records containing student identifiable information should be familiar with **20 USCA 1232g**, the **Family Educational and Privacy Rights Act**. Provisions of this act governing access to students' records and release of information from them should be applied along with applicable state statutes. Other legislation may exist that affects the maintenance, amendment, and/or disposition of student records. Custodians should educate themselves about such legislation in order to protect against unauthorized or improper disclosure.

1. **EXAMINATION MATERIALS FILE**. Records used to administer local or state standardized examinations and tests that measure students' performance or level of acquired knowledge. File includes all testing materials and student answer documents. (Comply with applicable provisions of G.S. §115C-174.13 regarding the confidentiality of records containing the identifiable scores of individual students.)

DISPOSITION INSTRUCTIONS: Destroy in office student answer documents for all tests containing responses and modified versions six months after the return of a student's test scores.

*Test coordinators should contact the Department of Public Instruction, Division of Accountability Services, Testing Section for procedures for recycling and destroying all other test materials.

2. **EXAMINATION REPORTS FILE**. Records concerning the administration of a standardized examination. File includes class record sheets, summary goal reports, individual reports and class roster reports, and other related records. (Comply with applicable provisions of G.S. §115C-174.13 regarding the confidentiality of records containing the identifiable scores of individual students.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years provided test scores are posted to student's North Carolina cumulative record.

3. **HEALTH RECORDS FILE.** Health-related records for students.

- a) **DIAGNOSTIC AND SUMMARY REPORTS.** Reports from physicians documenting a student's chronic health condition. (Records may be retained as part of student's cumulative record or separately. If retained separately records should be merged with student's cumulative record upon student's departure from school system but prior to microfilming.)

DISPOSITION INSTRUCTIONS: Retain permanently in student's cumulative records file.

- b) **INJURY REPORT FORMS.** Injury report forms describing medical attention provided to a student on campus by school officials for injuries deemed serious.

DISPOSITION INSTRUCTIONS: Destroy in office when student reaches 29 years of age and has not received services within the last 10 years, if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

- c) **KINDERGARTEN HEALTH ASSESSMENT FORMS.** Initial immunization records and results of physical examinations necessary for a student to enter kindergarten. (Comply with applicable provisions of G.S. §130A-441 regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Retain in cumulative records file until elementary school is completed, then destroy in office, or retain permanently if the form contains the only doctor-signed, clinic-stamped immunization record.

- d) **MEDICATION AND PROCEDURES LOG.** Yearly log documenting medication administration and performance of skilled procedures provided to student by school nurses and/or designated school staff.

DISPOSITION INSTRUCTIONS: Destroy in office when student reaches 29 years of age and has not received services within the last 10 years, if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

- e) **PERMANENT HEALTH RECORD CARDS FILE.** Card providing information on student's medical history/status while in the public school system. Card includes immunization information, vision/hearing screening results, health status including chronic illness, seizures, allergies, etc., special health considerations, and narrative notes entered by the nurses or other school officials.

DISPOSITION INSTRUCTIONS: Retain permanently in student's cumulative records file.

- f) **PHYSICIAN'S AUTHORIZATION FORMS FILE.** Authorization forms including physician's orders to administer prescribed medicine, physician's orders for medical treatment and/or invasive health care procedures to be performed on the student, and physician's order for "do not resuscitate." Parent signs each type of form. (G.S. §115C-307)

DISPOSITION INSTRUCTIONS: Destroy in office when student reaches 29 years of age and has not received services within the last 10 years, if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

- g) **STANDARD ACTION PLANS OR INDIVIDUALIZED ACTION PLANS FILE.** Plans for students with life-threatening and/or chronic health conditions that describe procedures to be performed by school staff on the student throughout the year. The plan should be attached to the

student's permanent health record card while in use.

DISPOSITION INSTRUCTIONS: Retain in student's cumulative file until superseded or obsolete and then destroy. Note on permanent health record card when plan is discontinued.

- 4. NORTH CAROLINA CUMULATIVE RECORDS FILE.** Cumulative record of students' elementary and secondary educational career. File includes personal and family data; health and immunization information; attendance reports; standardized test dates and results; elementary, middle, and high school inserts or grade sheets; copies of birth certificates; and driver education certificates. File may also include photographs, correspondence to and from parents and/or guardians and school personnel, and court order documents such as birth date and name change verification. File also includes references to dates of separation due to graduation, withdrawal, or expulsion. (Comply with applicable provisions of G.S. §115C-402 regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Destroy in office worksheets when administrative value ends. Destroy in office suspension or expulsion notices in accordance with G.S. §115C-402. Retain in office remaining records permanently. [It is recommended that permanent records be microfilmed 2 years after the student graduates or otherwise leaves the school system. Records should be microfilmed to state standards established by the Division of Archives and History. Paper records that have been microfilmed may be destroyed if the microfilm has been verified and quality control procedures completed. Retain microfilm copy of records permanently.]

- 5. STUDENT ABSENTEE REPORTS FILE.** Daily reports or bulletins listing names of students absent from school the previous day, reason for absence, whether absence is excused or unexcused. File includes student's name grade, sex, homeroom number, teacher's name, and reason for absence. File may also include student's social security number.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year or when administrative value ends, whichever occurs first.

- 6. STUDENT ATTENDANCE (CLASSROOM) FILE.** Records completed by teachers showing each student's daily, weekly and monthly class attendance. File includes attendance sheets, books, and/or cards listing student's name and whether absent, present, or tardy.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year. (See also **STUDENT ATTENDANCE (SCHOOL) FILE**).

- 7. STUDENT ATTENDANCE (SCHOOL) FILE.** Records showing each student's daily, weekly, monthly, and/or yearly school attendance. File includes individual pupil reports compiled from student's classroom attendance records. Reports list student's name, address, school attended, homeroom code, grade, sex, race, birth date, and total number of absences by day. (Files may be maintained in addition to a student's cumulative record.)

DISPOSITION INSTRUCTION: Destroy in office after 5 years provided appropriate information has been posted to student's cumulative record.

- 8. STUDENT CHECK IN/OUT LOGS FILE.** Daily logs or records showing when students arrived late or left school early. Logs list student's arrival, departure, and re-admit times; student's name; teacher's name; and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years and when administrative value ends, whichever occurs later.

9. **STUDENT CLASSWORK RECORDS FILE**. Records created and/or used by teachers and students in the classroom. File includes non-standardized test materials, term papers, completed homework assignments, assignment books, notebooks, and other class work or tutoring-related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year and when administrative value ends, whichever occurs later, if not returned to student.

10. **STUDENT DISCIPLINE RECORDS FILE**. Records used to report and review adverse student behavior. File includes violent incident reports; discipline profile reports; disciplinary action plans; classroom detention notices; in-school and out-of-school suspension records; correspondence between parents and/or guardians and school personnel; supporting records describing student's behavior, facts and circumstances surrounding incident, and actions taken by school officials and/or law enforcement officers. File also includes school violence reports and suspension reports when used as required by G.S. §115C-391.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years and when administrative value ends, whichever occurs later.

11. **STUDENT DROPOUT RECORDS FILE**. Records used to track student withdrawals from school. File includes student data forms showing age, race, gender, grade level, date of withdrawal, reason for withdrawal, suspension data, family data, intervention/prevention profiles, and monthly summaries of all dropouts.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

12. **STUDENT ENTRY/WITHDRAWAL RECORDS FILE**. Records and/or logs showing when students enter or withdraw from school. File includes student information sheets and withdrawal forms listing student's name, family data, identification numbers, entry/withdrawal codes, reason for withdrawal or transfer, current grade level, grades and absences to date, and signatures of school personnel. (Records are often maintained only at the school level).

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when administrative value ends, whichever occurs later.

13. **STUDENT GRADE RECORDS (CLASSROOM) FILE**. Teachers' records showing individual student's grades. File includes teacher grade books, progress reports, bubble sheets, and/or grade reports for each six or nine week grading period for the school year. (Grades are used to compute semester and yearly averages for each student by subject.)

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year provided appropriate information has been posted to student's cumulative record. (See also **STUDENT GRADE RECORDS (SCHOOL) FILE**.)

14. **STUDENT GRADE RECORDS (SCHOOL) FILE**. Schools' records showing individual student's grades. Records list grades by subject for each six or nine week grading period, semester or midterm averages, student's final grades, and whether promoted or held back. File also includes student report cards and marks gathering forms.

DISPOSITION INSTRUCTION: Destroy in office after 5 years provided appropriate information has been posted to student's cumulative record.

15. **STUDENT INFORMATION ACCOUNTABILITY SYSTEM (SIAS) (ELECTRONIC) FILE.** SIAS is an electronic data processing record used by the local education agency to manage various types of student records and generate reports. Students' names, dates of birth, parents' names, grade level, students' status as academically gifted or exceptional, attendance data, course selection and verification, academic progress information and grades, honor roll designations, and other related data are entered into this electronic file. Programs within SIAS enable the local education agency to generate reports concerning vocational education programs, student demographics, annual dropouts, exceptional students, human resource management, transportation activities, and other related subjects. [Individual schools within the local education agency enter data into SIAS. That data is transmitted to the central office where it is compiled and transmitted as countywide data to the Department of Public Instruction. (While a local education agency is not required to use the system provided by the Department of Public Instruction, it should follow the same disposition instructions as those listed in this schedule for any electronic data processing system used.)]

DISPOSITION INSTRUCTIONS: General guidelines for disposing of machine readable and electronic data processing records may be found in STANDARD-4. MACHINE READABLE AND ELECTRONIC RECORDS.

- a) Back-up by copying all electronic files to magnetic tape, disk, or other machine readable medium and storing the copy at a secure, protected, off-site location. Update those back-up files periodically by erasing and/or exchanging them with media containing more current data.
- b) Erase or delete in office student specific information when administrative value ends, but within 5 years, provided it has been posted to student's cumulative record.
- c) Erase or delete in office information used to generate reports according to disposition instructions for those specific reports. For reports not specifically listed in this standard, erase or delete in office information used to generate those reports according to guidelines in STANDARD-4. MACHINE READABLE AND ELECTRONIC RECORDS.

16. **STUDENT ORGANIZATION RECORDS FILE.** Records concerning student organizations at each school. File includes membership lists, records of activities, scrapbooks, student newspapers, minutes (when kept), and other related records.

DISPOSITION INSTRUCTIONS:

- a) Transfer records with obvious historical value to the Histories File (Standard – 1, item 19).
- b) Destroy in office remaining records when superseded, obsolete, or reference value ends.

17. **STUDENT SCHEDULING RECORDS FILE.** Records and reports documenting a student's course selection and timetables. File includes course load by student reports, timetable reports, course selection and verification reports and slips, student scheduling reports and similar records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, but within 5 years.

18. **STUDENT TRANSFER RECORDS FILE.** Records concerning the transfer of students within or out of district schools. File includes transfer forms listing students' and parents' names, addresses, grade level, school names, and reason for transfer; correspondence; tuition receipts; statement of board approval or denial; and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

E. **TEXTBOOK RECORDS**. Records concerning the selection and purchase of textbooks.

1. **ROUTINE REPORTS (TEACHERS, PRINCIPALS, AND SUPERINTENDENTS) FILE**. Reports summarizing inventories from individual schools or the central office, invoices for books, and requests from schools to order books.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

2. **SUMMARY SHEETS FILE**. Records concerning specific books compiled from the individual school inventories.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years or when superseded and obsolete.

F. **TRANSPORTATION RECORDS**. Records concerning the transportation of students.

1. **ACCIDENT REPORTS AND TORT CLAIMS FILE**. Copies of accident reports, plaintiff's affidavits, and notices of tort claims. (See G.S. §143-300.1)

DISPOSITION INSTRUCTIONS: Destroy in office 7 years after settlement of claim.

2. **ANNUAL TRANSPORTATION REPORTS FILE**. Summary reports listing the activities of a local education agency's transportation department. Reports include number of days fleet was in operation, total number of miles buses were driven, number of buses operated, salaries paid to drivers and other transportation personnel, number of personnel employed, list of local expenditures, transportation policy questionnaires, inventory data, and other related information. Copies of report are sent to the central office and the Department of Public Instruction.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

3. **BUS INSPECTION REPORTS FILE**. Inspection reports of school buses or school transportation service vehicles.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

4. **CONTRACT TRANSPORTATION FOR CHILDREN WITH DISABILITIES AND OTHER CONTRACTED SERVICES FILE**. Records concerning contracted transportation services for children with disabilities or other pupils, or other groups. File includes contracts, bus driver routes, salary schedules, refund reports, school bus passenger reports, annual transportation reports, inspection reports, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

5. **COST OF TRANSPORTATION FILE**. Records concerning the operation, maintenance, replacement, and insurance of school buses or other school transportation service vehicles. File includes requisitions, expenditure reports, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

6. **SCHOOL BUS INVENTORY AND MAINTENANCE FILE**. Records compiled from the State Vehicle Fleet Management System (SVFMS) file that concern the maintenance of school buses or school transportation service vehicles. File includes 30-day inspection worksheets, oil filter reports, fuel receipts, preventative maintenance charge tickets, bus fleet inventories, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated.

7. **SCHOOL BUS ROUTES FILE**. Records concerning routes taken by school buses. File includes descriptions of routes, passenger lists, bus run reports, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

8. **SELT BELT FILE**. Records concerning the use and installation of seat belts and other restraint systems in school buses. File includes consent forms and similar records showing student's name, bus number, date system requested, type of system requested, and signatures of school's principal and student's parent and/or guardian.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

9. **STATE VEHICLE FLEET MANAGEMENT SYSTEM (SVFMS) (ELECTRONIC) FILE**. SVFMS is a electronic data processing record used by the local education agency to track inventory and maintenance of school buses or school transportation service vehicles. Preventative maintenance information and inventories of buses are entered into this electronic file.

DISPOSITION INSTRUCTION: General guidelines for disposing of machine readable and electronic data processing records may be found in STANDARD-4. MACHINE READABLE AND ELECTRONIC RECORDS.

SVFMS inventory and maintenance information should be retained in electronic form for 3 years after applicable inventories and maintenance reports are produced and then erased or deleted.

10. **TRANSPORTATION INFORMATION MANAGEMENT SYSTEM (TIMS) (ELECTRONIC) FILE**. TIMS is an electronic data processing record concerning the management of school transportation services. Bus scheduling and routing information, students' addresses, bus maintenance schedules, mileage of buses, and other related data are entered into this electronic file.

DISPOSITION INSTRUCTIONS: General guidelines for disposing of machine readable and electronic data processing records may be found in STANDARD-4. MACHINE READABLE AND ELECTRONIC RECORDS.

TIMS data and statistics should be retained in electronic form for 3 years after applicable statistical reports are produced and then erased or deleted.

11. **TRANSPORTATION RECORDS FILE**. Records documenting school bus maintenance and use. File includes number of hours driven, refund and materials received report, and transportation charge. File also includes summaries, reports, transportation audits, and similar records generated by the Transportation Management System (TIMS) and/or received from the N.C. Department of Public Instruction.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years or when superseded, obsolete, or administrative value ends, whichever occurs first.

12. **VEHICLE INSPECTIONS FILE**. Records concerning inspections as required by the Department of Transportation, Division of Motor Vehicles, Enforcement Section. File includes inspection certificates, monthly summary lists, and receipts and statements for vehicle inspection certificates.

DISPOSITION INSTRUCTIONS: Transfer original records to the Department of Transportation, Division of Motor Vehicles, Enforcement Section when generated. Destroy duplicates in office after 18 months and when released from all audits, whichever occurs later.

APPENDIX I: STUDENT EDUCATION RECORDS

The following federal legislation contains requirements that may affect the retention periods of student educational records. They are provided to assist record custodians in the maintenance of student educational records. "Records" as defined in Section 99.3 of the Family Educational Rights and Privacy Act (34 CFR 99.3) regulations means any information or data recorded in any medium, including but not limited to, handwriting, print, tapes, film, microfilm, and microfiche. Educational records means records which (1) are directly related to the student and are maintained by an agency or institution or (2) by a party acting for the party or institution.

I. Section 99.20 *The Family Educational Rights and Privacy Act of 1974* (34 CFR 99.20)

REQUEST TO AMEND RECORDS

- (a) The parent of a student or an eligible student who believes that information contained in the educational records of the student is inaccurate or misleading or violates the privacy or other rights of the student may request that the educational agency or institution that maintains the records amend them.
- (b) The educational agency or institution shall decide whether to amend the education records of the student in accordance with the request within a reasonable period of time of receipt of the request.
- (c) If the educational agency or institution decides to refuse to amend the education records of the student in accordance with the request, it shall so inform the parent of the student or the eligible student of the refusal and advise the parent or the eligible student of the right to a hearing under Section 99.21 (34 CFR 99.21).

II. Section 300.573 *Education of Individuals With Disabilities Education Act* (34 CFR 300.573)

DESTRUCTION OF INFORMATION

- (a) The public agency shall inform parents when personally identifiable information collected, maintained, or used under this part is no longer needed to provide educational services to the child.
- (b) The information must be destroyed at the request of the parents. However, a permanent record of a student's name, address, and phone number, his or her grades, attendance record, classes attended, grade level completed, and year completed may be maintained without time limitation.

Comment: Under Section 300.573, the personally identifiable information of a handicapped child may be retained permanently unless the parents request it be destroyed. Destruction of records in accordance with an approved retention schedule is the best protection against improper and unauthorized disclosure. However, the records may be needed for other purposes. When informing parents of their rights under this section, educational agencies should remind them the information contained in the records may be needed by the child or the parents to qualify for future services or benefits. If the parents still request the information be destroyed, the educational agency may retain information described in (b).

STANDARD-8. PUBLIC RELATIONS RECORDS. Records created and accumulated by public information programs operated by local education agency.

1. **ADVERTISEMENTS FILE.** Records concerning advertisements for local education agency. File includes correspondence, marketing research reports, surveys, studies, master copies of advertisements, billing records, contracts, and other related records.

DISPOSITION INSTRUCTIONS:

- a) Destroy in office contracts 3 years after expiration if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.
- b) Destroy in office billing and other financial records when released from all audits.
- c) Transfer records with obvious historical value to Histories File (Standard-1, item 19) when reference value ends.
- d) Destroy in office remaining records when reference value ends, but within 5 years.

2. **AGENCY PUBLICATIONS FILE.** Publications created at local education agency expense.

DISPOSITION INSTRUCTIONS:

- a) Retain one copy in office permanently.
- b) Destroy in office remaining copies when administrative value ends.

3. **AUDIO TAPES FILE.** Audio tape recordings produced by agency.

DISPOSITION INSTRUCTIONS:

- a) Transfer items with obvious historical value to Histories File (Standard-1, item 18) when administrative value ends.
- b) Destroy in office remaining records when administrative value ends.

4. **BIOGRAPHICAL DATA FILE.** Biographical sketches, news releases, newsclippings, and photographs of various local education agency officials.

DISPOSITION INSTRUCTIONS:

- a) Transfer items with obvious historical value to Histories File (Standard-1, item 19) when reference value ends.
- b) Destroy in office remaining records when reference value ends.

5. **CORRESPONDENCE/MEMORANDUMS FILE.** Correspondence and memorandums concerning

public relations matters.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

6. **FILMS FILE.** Films produced by agency for public or departmental use.

DISPOSITION INSTRUCTIONS:

- a) Transfer items with obvious historical value to Histories File (Standard-1, item 19) when administrative value ends.
- b) Destroy in office remaining films when administrative value ends.

7. **MAILING LISTS FILE.** Mailing lists of individuals receiving information from public relations office.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

8. **NEWSCLIPPINGS FILE.** Clippings from newspapers concerning the local education agency or its officials.

DISPOSITION INSTRUCTIONS:

- a) Transfer items with obvious historical value to Histories File (Standard-1, item 19) when reference value ends.
- b) Destroy in office remaining items when reference value ends.

9. **NEWS AND PRESS RELEASES FILE.** News and press releases issued concerning programs, activities, and services of local education agency.

DISPOSITION INSTRUCTIONS:

- a) Transfer items with obvious historical value to Histories File (Standard-1, item 19) when administrative value ends.
- b) Destroy in office remaining items when administrative value ends.

10. **PHOTOGRAPHS FILE.** Photographs and negatives used in publicizing programs, services, and other related matters.

DISPOSITION INSTRUCTIONS:

- a) Transfer items with obvious historical value to Histories File. (Standard-1, item 19) when administrative value ends.
- b) Destroy in office remaining items when administrative value ends.

11. **PUBLIC RELATIONS FILE**. Records concerning overall public relations of local education agency. File includes procedures, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

12. **SLIDES FILE**. Slides produced by public relations offices concerning programs, services, and other related agency matters.

DISPOSITION INSTRUCTIONS:

- a) Transfer items of obvious historical value to Histories File (Standard-1, item 19) when administrative value ends.
- b) Destroy in office remaining items when administrative value ends.

13. **SPEECHES FILE**. Speeches made by the director or other local education agency officials.

DISPOSITION INSTRUCTIONS:

- a) Transfer items with obvious historical value to Histories File (Standard-1, item 19) when administrative value ends.
- b) Destroy in office remaining items when administrative value ends.

14. **VIDEO TAPES FILE**. Video tapes produced by local education agency.

DISPOSITION INSTRUCTIONS:

- a) Transfer items with obvious historical value to Histories File (Standard-1, item 19) when administrative value ends.
- b) Destroy in office remaining items when administrative value ends.

15. **VISUAL AIDS FILE**. Slides, charts, transparencies, and other related records used in presentations.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**North Carolina Department of Cultural Resources
Division of Archives and History
Records Services Branch
PUBLIC RECORDS SERIES LISTING**

PURPOSE: This form is used to request establishment of or change in an existing records retention and disposition schedule for a public record series as required by G.S. 121 and 132. Based on the information you supply, an appraisal of the records will be made and a draft retention schedule prepared for your agency's review. The approved schedule will be your agency's legal authorization to destroy and transfer public records.

- INSTRUCTIONS:**
1. Complete a separate copy of this form for each individual records series.
 2. To complete this form in Microsoft Word v6.0 (or later), protect the document for forms. For more information, use the Help menu.
 3. To complete this form on paper, please type, or print clearly.
 4. Complete every section of this form for each records series.
 5. Send to State Records Center (215 N. Blount Street) via interoffice mail, state courier service (#51-81-20), or USPS to 109 E. Jones Street, Raleigh, NC 27601-2807, or FAX to 919-715-3627
 6. Questions? Need help? Phone (919) 733-3540. Ask for your Records Analyst.

1. **Department:** _____

2. **Division:** _____

3. **Section:** _____

4. **Branch:** _____

5. **Unit:** _____

6. **Changes Requested to Item Number:** _____
- Title Description Disposition instructions
- Delete item.
- No records in this series exist.
- Records have been transferred to _____

7. Add new item

8. **Proposed title:** _____

9. **Medium of the records:**

- | ORIGINAL | REFERENCE | |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | These are paper records. |
| <input type="checkbox"/> | <input type="checkbox"/> | These are electronic records. |
| <input type="checkbox"/> | <input type="checkbox"/> | These records are <input type="checkbox"/> microfilm <input type="checkbox"/> microfiche. |

NO **YES**

- | | | |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | 10. Records contain confidential information.
If yes, list the statutory or regulatory provision: _____ |
| <input type="checkbox"/> | <input type="checkbox"/> | 11. Record series is <input type="checkbox"/> input to <input type="checkbox"/> output from a computer file.
If yes, is that computer file listed on this office's Records Retention Schedule? Item _____.
If no, complete a separate Public Series Listing form for that computer file. |
| <input type="checkbox"/> | <input type="checkbox"/> | 12. Record series is subject to <input type="checkbox"/> State <input type="checkbox"/> Federal audit. |
| <input type="checkbox"/> | <input type="checkbox"/> | 13. Record series is a vital record. Explain. _____ |

Description, purpose, and use of record series:

14. What are these records about? What function or activity do records concern?

15. List some of the specific types of records (correspondence, publications, maps, job applications) included in this series.

16. What specific information is input to computer file?

17. **Proposed retention period for record series:**

- Destroy in office after ___ years.
- Destroy in office when administrative or reference value ends.
 when superseded or obsolete.
- Retain in office permanently.
- Microfilm scan records. Original records will be retained destroyed after quality control procedures are completed.
- Other: _____

18. **Your name and title:** _____

19. **Phone:** _____

20. **Date:** _____

21. **Your address:** _____

NORTH CAROLINA DEPARTMENT OF CULTURAL RESOURCES
DIVISION OF ARCHIVES AND HISTORY, RECORDS SERVICES BRANCH

REQUEST FOR CHANGE IN RECORDS SCHEDULE

INSTRUCTIONS: Use this form to request a change in the records retention and disposition schedule governing the records of your agency. Prepare in duplicate for each change desired. Send signed original to the Assistant Records Administrator, 109 E. Jones St., Raleigh, NC 27601-2807. Keep copy for your file. A proposed amendment will be prepared and submitted to the appropriate state and local officials for their approval and signature. On approval, the signed copies of the amendment will be furnished to all parties for insertion in their copy of the schedule.

CHANGE REQUESTED (Check one)

Add new item Delete existing item Change retention period

NAME OF COUNTY AND AGENCY

TITLE OF RECORDS SERIES IN SCHEDULE OR PROPOSED TITLE

SCHEDULE REFERENCE (If any)

Standard Number ___ Page ___ Item Number ___ None ___ ___

INCLUSIVE DATES OF RECORDS **VOLUME OF RECORDS IN LINEAR INCHES**

DESCRIPTION OF RECORDS

PROPOSED RETENTION PERIOD

NAME, TITLE, AND SIGNATURE OF REQUESTER **TELEPHONE NUMBER** **DATE**

REQUEST FOR DISPOSAL OF ELECTRONIC DATA PROCESSING PUBLIC RECORDS

Date: _____

To: Assistant Records Administrator
Records Services Branch
109 E. Jones Street
Raleigh, NC 27601-2807

From:

Subject: Request for approval to dispose of electronic data processing public records and applicable documentation.

In accordance with the provisions of G.S. 121 and 132, approval is requested for the destruction of the records listed below. These records have no further use or value for official or administrative purposes.

Type or Print Legibly-Need Help: Call (919) 733-3540-Ask for Local Records Analyst

Title and Description of Records	Inclusive Dates	Number of		Master (M) or Processing (P)		Present Retention Period
		Tapes	Disks	Files		
				M	P	

Requester's Signature and Telephone _____ Title _____ Date _____

Signature of approving Agency Official _____ Title _____ Date _____

For Department of Cultural Resources Use only

- Concur
- Do Not Concur, Explanation Attached

Name and Signature _____ Title _____ Date _____

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