

Since our district does not have centralized personnel functions, each department must maintain and weed their own department's personnel records. This sheet lists all the types of records found in personnel folders and whether they should be discarded six years after the employee has left the district employ or whether the records are permanent and should be retained and forwarded to the records center for microfilming. In those few cases where an employee is disputing or otherwise having trouble with retirement benefits or is in litigation against the district, you must retain the entire file for at least six years after the matter has been brought to a conclusion.

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|--|-----------|
| Application form and letter | Discard |
| Appointment letter | Permanent |
| Benefits information | Discard |
| Contracts (for superintendent) | Permanent |
| Declination to join retirement system | Permanent |
| Job descriptions | Permanent |
| Insurance information | Discard |
| Letter of recommendation from district | Discard |
| Letter of resignation from employee | Discard |
| Memos (relating to discipline, etc.) | Discard |
| Oath of office | Permanent |
| Reference letters | Discard |
| Resume | Discard |
| Salary information | Permanent |
| Teaching certificate | Permanent |
| Transcript from college | Permanent |

Note: Many records identified as permanent on this sheet are not scheduled as permanent on the State Archives' ED-1. These are examples of local decisions to increase retention periods. You should not assume this sheet represents the Archives' recommendations.

**Developmental Disabilities Services Office
Retention and Disposition Schedule**

Below is a retention and disposition schedule for managing inactive records. The retention period refers to individuals who are beyond the age of majority. The Health Information Management Office will provide you with a list of our younger population for whom this schedule DOES NOT APPLY. DO NOT DESTROY FORMS THAT ARE NOT LISTED.

IDENTIFYING DATA SECTION

Office retention: PERMANENT
Total retention: PERMANENT
Appraisal: Retain paper copy in office; microfilm use copy in Records Center.

Title: Affidavits and orders
Schedule item: OCA, Civil Court Supreme & County: other case files, 20230
Office retention: 10 years
Total retention: PERMANENT
Appraisal: Maintained permanently in records center.

Title: Annual report of the Board of Excise
Schedule item: CO-2, General, 23
Office retention: 3 years
Total retention: PERMANENT
Appraisal: Keep only three years in office since reference drops off quickly.

Title: Annual reports of corporations
Schedule item: CO-2, County Clerk, Miscellaneous, 192
Office retention: 3 years
Total retention: PERMANENT
Appraisal: Keep only three years in office since reference drops off quickly.

Title: Application to use records (Records Management)
Schedule item: CO-2, Archives/RM, 44a
Office retention: 6 years
Total retention: 6 years
Appraisal: CO-2 gives retention as "0 after no longer needed." Six years allows enough time to discover any thefts or destruction and allow us to find the perpetrator.

Personnel Case File Retention Sheet

SCHOOL DISTRICT AND BOCES

Administration

◆ **NOTE:** Superintendent's records are covered under item no. 471 in the Executive section. Youth court case files are covered under Youth Services section.

874 ED1 167,

School district records

created prior to consolidation of municipal school districts into centralized districts

NOTE: For attendance and school census records of predecessor school districts, see the Student Records section. Other series of school records created prior to consolidation should be treated as a discrete series for each of the consolidated districts. Appropriate retention periods for these records are addressed elsewhere.

- a Basic records including but not limited to school district trustees' minutes; school commissioners' reports; school district "record books;" records of formation, alteration or consolidation of districts; teacher hiring and salary records; school fund and other accounting ledgers; district tax rolls or lists; school library reports and book lists; certificates of apportionment and annual and special reports:
RETENTION: PERMANENT
- b Supporting fiscal and administrative documentation, including but not limited to receipts, warrants and orders to pay, canceled checks, bank statements, and routine correspondence:
RETENTION: 6 years

875 ED1 466,

Non-public school discontinuance records,

including but not limited to notification of transfer of discontinued non-public school student records to other school or agency, and non-public school student records transferred from discontinued non-public school to public school district:

RETENTION: PERMANENT

876 ED1 168,

District organization file

covering school districts and BOCES

- a Records documenting the establishment, extension, alteration, consolidation, or dissolution of district including but not limited to petition, records of public hearing, correspondence with New York State agencies, maps, surveys, special reports and studies, and photographs:
RETENTION: PERMANENT
- b Background materials and supporting documentation, including but not limited to

periodic reports, routine correspondence, memoranda, and copies of district budgets:

RETENTION: 6 years

877

ED1 171,

School district/BOCES registration and accreditation records,

including but not limited to application for and registration from State Education Department (SED), results of review of registration status, accreditation by private evaluating agency and award received from federal Department of Education, SED and other agencies and organizations:

RETENTION: PERMANENT

878

ED1 48,

Basic Educational Data System (BEDS) records,

including School Data Form, School District Summary Form, personnel master summary data and related reports used to report summary data on instructional programs to the State Education Department:

RETENTION: 5 years

◆ 879

Questionnaire on student race and ethnicity

responsive to state and federal statistical data requirements:

RETENTION: 3 years or 3 years after audit, review, or investigation is completed, whichever is later

880

ED1 401,

School district, individual school, or BOCES improvement records,

covering review by State Education Department (SED) of academic performance, aptitude test scores, school safety or violence, fiscal management, or overall administration

- a Official notifications from SED, final versions of corrective action and school improvement plans, results of SED progress reviews, summary of corrective actions taken, and significant correspondence:

RETENTION: PERMANENT

- b Other records, including but not limited to draft corrective action and school improvement plans, results of data analyses, notes and correspondence:

RETENTION: 6 years after date of most recent entry in record

NOTE: Appraise these records for historical significance prior to disposition. Records documenting schools or districts "in need of improvement" or "in need of corrective action" or placed "under registration review" by SED may have continuing value for historical or other research and should be considered for permanent retention unless the information they contain is duplicated or summarized in records covered by part "a" of this item. Contact the State Archives for additional information.

881

ED1 148,

Administrative reports

covering grades, test scores, staffing, fiscal matters, complaints about use of corporal punishment, school prayer certification, annual professional performance reviews (APPR) and other activities and performance of school district or BOCES, including reports prepared for inclusion with annual State aid consolidated funding application

- a Significant reports, including public school performance report, covering academic performance, attendance, suspension and drop-out rates for the previous year; school district and BOCES report cards, covering expenditures for administration and improvement, student academic performance indicators, and measures of fiscal performance; district progress report, providing annual summary data on standardized achievement and aptitude test results, Regents and other examination test results, and analyses of test data, as well as other information on such subjects as enrollment and attendance, staffing, class size, graduating classes and ethnicity; and similar administrative reports:
RETENTION: PERMANENT
- b School progress report, when information can be readily extracted from district progress report:
RETENTION: 5 years
- c School progress report, when information cannot be readily extracted from district progress report:
RETENTION: PERMANENT
- d Final version of comprehensive assessment report (CAR), received from State Education Department, and returned upon verification, when report is created instead of a district progress report, and it contains annual summary data on standardized achievement and aptitude test results, Regents and other examination test results, and analyses of test data, as well as other information on such subjects as enrollment and attendance, staffing, class size, graduating classes and ethnicity, and/or it constitutes a report published by the school district:
RETENTION: PERMANENT
- e Final version of comprehensive assessment report (if not covered by part d):
RETENTION: 5 years
- f Routine reports and background files and supporting documentation used in creating, verifying, or correcting any reports covered by this item:
RETENTION: 6 years

882

ED1 402,

Administrative plans

covering grades, test scores, staffing, pupil attendance, fiscal matters, and overall activities and performance of school district or BOCES, including plans prepared for inclusion with annual State aid consolidated funding application, not covered by specific items found elsewhere in this schedule, including comprehensive district education (or equivalent) plan; district plan for participation by teachers and parents in school-based planning and shared decision-making; attendance plan, including proposed strategies for attendance improvement and dropout prevention; and similar administrative plans

- a Final versions of significant plans, including all amendments:
RETENTION: PERMANENT
- b Other plans and background files and supporting documentation for all plans, including results of data analysis, along with plan submission records:
RETENTION: 6 years
- c Data created or modified specifically for creation of comprehensive district education (or equivalent) plan or copy of data submitted to the State Education Department (SED):
RETENTION: 5 years
NOTE: This data may come from a student information system (see item no. 953 in the Student Records section) and may also relate to data collected relative to Local Education Agency Programs (see item no. 979 in the Supplemental Education Services section). If identical data serves more than one function, the longest applicable minimum retention period must be followed.

883

ED1 394,

Records of auxiliary organizations or activities,

including but not limited to parent support organizations, such as PTA, employee unions, parent sponsored clubs, after-school activities which are not officially sanctioned by the school, and other miscellaneous records in the custody or possession of the school district or BOCES:

RETENTION: 0 after no longer needed

NOTE: Appraise these records for historical significance prior to disposition. Records which document the history of the community and its citizens may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

◆ 884

Commencement records

- a Official copy of commencement program or other publication:
RETENTION: PERMANENT
- b Other commencement records, including but not limited to copies of speeches, press clippings and press releases, and event planning and logistics records:
RETENTION: 6 years
NOTE: Appraise these records for historical significance prior to disposition. Records such as speeches and photographs may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

◆ 885

Alumni directory

or other master summary record of alumni and all other degree recipients, such as published alumni catalog, providing names of alumni, years of graduation, and other information such as degrees granted and place of residence:

RETENTION: PERMANENT

- 886** ED1 341,
Pre-K and/or "Head Start" records
 covering children enrolled in program operated by school district
 NOTE: Schools may prefer to maintain these records as part of a student cumulative education record file. See item no. 948 in the Student Records subsection.
- a Individual child's folder, including but not limited to application from parent/guardian, individual service plan, conference notes, year-end or other reports, health records, family profile and social information:
 RETENTION: 0 after child attains age 21
 - b Applications from parent/guardian for enrollment of child in program, where child is not accepted or is not enrolled in program:
 RETENTION: 3 years
 - c Annual or other master listing of students enrolled in program:
 RETENTION: 20 years
- 887** ED1 471,
Family literacy program records
- a Family folder, including but not limited to application from parent/guardian, testing records, service plan, records of home visits, conference notes, year-end progress or other reports, health records, family profile and social information:
 RETENTION: 0 after youngest child attains age 21
 - b Applications (including related testing records) from parent/guardian for enrollment of child in program, where child is not accepted or is not enrolled in program:
 RETENTION: 3 years
 - c Annual or other master listing of students and families enrolled in program:
 RETENTION: 20 years
 - d Performance indicators used to monitor, evaluate and improve program:
 RETENTION: 6 years after superseded or obsolete
- ◆ **888** ED1 462,
Residency determination records
 for student, other than information contained in cumulative education record file, and including hearing record
- a For cases where determination is decided through a hearing:
 RETENTION: 1 year after date of final determination or 1 year after student no longer enrolled in district, whichever is longer
 - b For cases where residency is verified without a hearing:
 RETENTION: 1 year after date of final determination
- ◆ **889** ED1 469,
Appeal or petition to the Commissioner of Education,
 along with related records, when not related to a specific series of records listed on this Schedule:

RETENTION: 3 years after resolution of appeal or petition

NOTE: This item includes, but is not limited to, appeals filed pursuant to Sects. 310 and 3012-c and -d, Education Law (latter relates to annual professional performance reviews (APPR)). Appeals or petitions relating to specific series of records listed on this Schedule should be retained as part of or as long as that respective series.

- 890** ED1 467,
Copies of custody orders and other miscellaneous social services records
relating to individual students, maintained by school districts and BOCES:
RETENTION: 0 after student attains age 18
- 891** ED1 465,
Parolee and sex offender records,
including lists of parolees or sex offenders living within a jurisdiction:
RETENTION: 0 after superseded or obsolete
- 892** ED1 170,
Non-public school student text book loan records,
including request for text books and record of loan and return:
RETENTION: 5 years

Food Management and Child Nutrition

- 893** ED1 135,
Food management and child nutrition records
 - a Program participation agreement, including attachments and amendments:
RETENTION: 6 years after termination of agreement
 - b Other program records, including but not limited to application to participate as a sponsor, individual child participation application, records including meal counts, requisition and approval of requisition for donated commodities, and fiscal records such as adding machine tapes, purchase orders, claims and vouchers:
RETENTION: 3 years after end of school fiscal year
NOTE: Fiscal records relating to food management and child nutrition do not need to be retained for 6 years as similar fiscal records found in the Fiscal section of this Schedule must be retained.
 - c Free and reduced meal policy statement, with attachments and certificate of acceptance:
RETENTION: 3 years after policy superseded
- 894** ED1 136,
Food inspection and investigation records
 - a Inspection report for preparation or serving area:
RETENTION: 3 years

- b Food sanitation complaint investigation or food embargo records, for investigations other than food- or water-borne disease investigations:
RETENTION: 6 years after last entry
- c Food sanitation complaint investigation or food embargo records, when a food- or water-borne disease investigation is conducted:
RETENTION: 21 years
NOTE: Appraise these records for long-term uses, warranting longer, if not permanent, retention prior to disposition. Records covered by this subitem may be useful in the future in documenting cases of serious food poisoning, such as where death or serious illness occurs from E. coli contamination. Contact the State Archives for additional advice.

Gifted and Talented Programs

- 895 ED1 325,
Student folder for student enrolled in gifted and talented program,
including but not limited to application or offer for participation, testing or eligibility determination records, progress reports, product assessment, samples of student's work, notes and correspondence:
RETENTION: 6 years after student participation in program terminates
NOTE: Schools may prefer to maintain these records as part of a student cumulative education record file. See item no. 948 in the Student Records subsection.
- 896 ED1 326,
Lists of students applying for participating and/or enrolled in gifted and talented program(s)
- a Annual list of students enrolled in gifted and talented program(s):
RETENTION: 20 years
 - b List of students who applied for and/or were denied placement:
RETENTION: 3 years
 - c Other lists of students, created for internal administrative purposes:
RETENTION: 0 after no longer needed
- 897 ED1 327,
Application and/or offer for participation in gifted and talented program,
including eligibility identification and testing records, when student is not enrolled or does not participate in program:
RETENTION: 3 years
- 898 ED1 328,
Documentation of the process for selection and placement
for students in gifted and talented program, including explanation and justification of acceptance criteria, and district program plan:

RETENTION: PERMANENT

Health

◆ 899

ED1 137,

Student's health record,

including but not limited to health history; individualized health care plan; immunization record; results and recommendations from examination, screening, or treatment; parent or guardian referral and permission record; and teacher's comments

- a Summary record or individual records when not posted to summary record:
RETENTION: 0 after individual attains age 27
- b Individual records when posted to summary record, except blood and body fluids incident report:
RETENTION: 1 year after end of school year
- c Individual immunization record, including authorization and/or parental
RETENTION: 6 years, or 3 years after individual attains age 18, whichever is longer
NOTE: These records may be requested beyond their minimum legal retention period by persons needing proof of certain immunizations for college admission or other purposes. The State Archives recommends that school districts and BOCES evaluate the need to retain immunization records longer than the stated minimum retention period for these purposes.
- d Blood and body fluids incident report, even when posted to summary record:
RETENTION: 0 after individual attains age 27
- e Physician authorization to resume athletic activity after a traumatic brain injury:
RETENTION: PERMANENT

900

ED1 138,

Log of students' accidents and illnesses

during school day:

RETENTION: 1 year after end of school year

NOTE: This retention period presumes that information contained in the log is also contained in the individual and/or summary health records covered by parts a. and/or b. of item no. 899. If this information is not posted to the student's individual and/or summary health records, then the log must be retained until the youngest student listed in it attains age 27.

901

ED1 139,

Student's psychological or social assessment record file

NOTE: Institutional school districts should retain all these records until the student attains age 27.

- a Report regarding student's ability, personality, family, and environmental influences:

RETENTION: 6 years after report written

- b Source materials used in preparing report, including "protocols," tests and notes, for students not classified as special education:

RETENTION: 1 year after report written

- c Source materials used in preparing report, including "protocols," tests and notes, for students classified as special education:

RETENTION: 6 years

902 ED1 329,

Inventory, storage, receipt and distribution records

for vaccines and controlled substances (or other drugs or medication) administered to students and/or employees:

RETENTION: 5 years

903 ED1 330,

Student health summary reports,

covering all or groups of students, including school immunization survey summary and communicable disease summary report:

RETENTION: 3 years

904 ED1 457,

Early intervention program records,

including but not limited to case record and screening, assessment and referral

- a Individual case record:

RETENTION: 7 years after discharge or last contact, but no less than 3 years after person attains age 18

- b Screening, assessment and referral records, not found in individual case

RETENTION: 7 years

Instruction

905 ED1 143,

Curriculum records

NOTE: This also includes high school equivalency, alternative learning and adult education courses offered by a school district or BOCES.

- a Course curriculum and related records describing course of instruction and course content:

RETENTION: PERMANENT

- b Approved curriculum variance application:

RETENTION: 10 years after variance approved

- c Approved application for occupational education (work-study) curriculum:

RETENTION: 4 years after curriculum discontinued

- d Approved application for curriculum other than occupational education (work-study):
RETENTION: 1 year after curriculum discontinued
- e Denied application for curriculum approval or variance:
RETENTION: 1 year after end of school year
- f Individualized home instruction plan (IHIP), worksheets, and other related home schooling records:
RETENTION: 6 years after student graduates or would normally have graduated from high school
- g Curriculum planning records:
RETENTION: 0 after no longer needed
NOTE: Reports and studies prepared as part of curriculum planning may have long-term value meriting continued preservation. Local officials should evaluate these records for continued, or permanent, preservation. Contact the State Archives for additional advice.

906 ED1 144,

Teacher's lesson plan:

RETENTION: 0 after no longer needed by school district or BOCES

907 ED1 145,

Instructor's grade records, test scores, and marking sheets,

including records documenting the evaluation of scientific models, biological specimens, chemical compounds or other objects or materials produced in lab or shop settings:

RETENTION: 2 years

♦ 908 ED1 146,

Examinations,

including test answer papers, examination scoring certificates and Regents examinations:

RETENTION: 2 years after end of school year

NOTE: Scores may be used in annual professional performance reviews (APPR).

909 ED1 147,

Records of hypodermic syringes and needles

acquired for educational use or for administration of vaccines and other controlled substances to students and/or employees

- a Certificate of need for educational use:

RETENTION: 6 years after certificate expires

- b Other records, including records of purchase, inventory, destruction, loss or theft:

RETENTION: 6 years

910 ED1 149,

Training records for law-enforcement officers, E-911, dispatch or fire-fighting

personnel

NOTE: This item covers official records of public safety training conducted by county vocational education and extension boards or other ED-1 users.

- a Individual's record of courses attended and/or completed, including basic information on course content:

RETENTION: 6 years after individual leaves service

NOTE: Local officials may wish to keep these records longer, possibly for the career of the individual, if the records are consulted throughout that period.

- b Official copy of training manual or bulletin:

RETENTION: 50 years

- c Course instruction records, including attendance lists and lesson plan:

RETENTION: 1 year

911 ED1 333,

Application for and approval to offer high school equivalency preparation program,

physical education program, occupational education program, instructional programs for incarcerated students, adult education, alternative learning program, foreign exchange visitor program, or similar programs, including application by school district or BOCES, letter of determination, information on participating staff, State Education Department (SED) program review records, service plans, reports submitted to SED and correspondence:

RETENTION: 6 years

912 ED1 334,

Regents examination and competency test report:

RETENTION: 5 years

◆ 913

Unused Regents examinations:

RETENTION: 1 year after end of school year

NOTE: Completed examination and test papers are covered by item 908 in the Instruction subsection and item 948c in the Student Records subsection.

914 ED1 335,

Summary records of standardized aptitude and achievement tests, including but not limited to test result summaries, copies of tests, eligibility determination records, and records describing testing programs:

RETENTION: 1 year after end of school year

NOTE: For schools or districts placed "under corrective action" or "under registration review" by SED, these records may need to be retained until these designations are canceled by SED and no longer apply. Scores may be used in annual professional performance reviews (APPR).

915 ED1 458,

Emergency medical training records,

covering local governments which are course sponsors, including but not limited to information on individuals, course files, and information on instructors, as required by Section 800.20, 10NYCRR

NOTE: This item covers records of emergency medical training for which school districts, BOCES or other ED-1 users are course sponsors. See item no. 930 in the School Safety subsection for records of training received by school personnel or students

- a Information on individuals and course files:
RETENTION: 5 years
- b Information on instructors:
RETENTION: 5 years after working association of each instructor ceases

Magnet Schools

- 916 ED1 336,
Documentation of process used for application, selection and placement
of students in magnet school program, including explanation and justification of acceptance criteria:

RETENTION: PERMANENT

- 917 ED1 337,
Lists of students applying for placement and/or placed in magnet schools

- a Annual list of students placed in magnet schools:
RETENTION: 20 years
- b List of students who applied for and/or were denied placement:
RETENTION: 3 years
- c Other lists of students, created for internal administrative purposes:
RETENTION: 0 after no longer needed

- 918 ED1 338,
Individual student application for placement in magnet school

- a When application is approved:
RETENTION: 6 years or student participation in program terminates, whichever is later
- b When application is not approved or student does not enroll in program:
RETENTION: 3 years

- 919 ED1 339,
Application to New York State Education Department to operate magnet school(s),
including district plan and related records

- a Original application, including district plan for operating magnet school(s):

RETENTION: PERMANENT

- b Renewal application and all other related records:

RETENTION: 6 years

- 920 ED1 340,
Records of magnet school program monitoring by New York State Education Department,

including but not limited to monitoring report, response and records of any resulting action taken:

RETENTION: 6 years after date of most recent entry in record

Nursing Education

- 921 ED1 175,
Program operation authorization records,
including but not limited to application, inspection reports, authorization, and registration:

RETENTION: PERMANENT

- 922 ED1 176,
Program catalog,
including but not limited to course of instruction, course content, and rules and regulations:

RETENTION: PERMANENT

- 923 ED1 178,
State Education Department licensing examination eligible list:

RETENTION: 3 years after the end of the school year

School Safety

◆ **NOTE:** For building security records and video recordings maintained for security purposes, see item nos. 811 and 846 in the Public Property and Equipment section. Other items previously in this subsection may be found in the General Administration section.

- 924 ED1 62,
Disaster preparedness or crisis relocation records

NOTE: See item no. 926, below, for district-wide and school safety plans.

- a Copies of plans held by local government, including supporting maps, when official copies prepared under Section 23, Executive Law, are maintained by

county or other local government which created them, along with other disaster preparedness plans, not prepared under Section 23, Executive Law, intended for specific buildings or for use by specific local government units:

RETENTION: 3 years after superseded

- b Background materials and supporting documentation used in preparation of plans:

RETENTION: 3 years

925

ED1 66,

Rescue and disaster response reports

and related records, including responses to threats or hazards to the public, school facilities or vehicles due to natural, technological, or human-made circumstances and/or the discovery of possible explosives, pathogens or other hazardous substances, covering specific incidents

- a Records of major disasters, including information on the response of all agencies to the disaster, including such records as photographs, press clippings, property damage reports, records of emergency response, summary reports of personal injuries, records relating to demolition and new construction, and correspondence:

RETENTION: PERMANENT

- b Records of other than “major” disasters:

RETENTION: 3 years, but not until 3 years after any minor involved attains age 18

NOTE: Specific records should be appraised for historical value and may warrant permanent retention based on the serious nature of the incident involved. These would include actual discovery of explosives, pathogens or hazardous materials, and major facility evacuations and quarantines. Contact the State Archives for additional advice in this area.

◆ 926

ED1 491,

District-wide school safety and building-level emergency response plans

- a Final approved copies of plans, along with all revisions and amendments:

RETENTION: PERMANENT

- b Plan development, adoption and related records, including records of school safety teams:

RETENTION: 6 years

◆ 927

ED1 492,

School violence and dangerous school records

NOTE: Requests for transfer and related records of individual students are covered by item no. 948b in the Student Records: Academic Records subsection.

- a Violent and disruptive incident (VADIR) and Dignity for All Students Act (DASA) reports and summary records, including copies of summary information submitted to the State Education Department (SED):

RETENTION: 0 after youngest person involved attains age 27

NOTE: Summary records may need to be retained longer, even permanently, if

they document school violence, or if a school has been designated a persistently dangerous school. Contact the State Archives for additional advice.

- b Violent and disruptive incident data received back from SED:
RETENTION: 0 after data verified and any necessary corrections completed
- c Persistently dangerous school designation records, including SED citation, plan for corrective action, results of audits and monitoring, student transfer protocol and lists of transferring students, and documentation of removal of designation:
RETENTION: PERMANENT

928

ED1 493,

Sexual molestation and sexual harassment records,

maintained separately from student health records or employee personnel records, and not including child abuse or maltreatment reports, covered by item no. 27 in the General Administration section:

RETENTION: 0 after youngest person involved attains age 27

929

ED1 246,

Fire and building condition records,

including but not limited to fire safety inspection reports, fire drill reports, fire alarm records, fire inspection reports, fire investigation reports, structural safety inspection reports, building condition surveys and visual inspection reports

- a Fire safety inspection reports prepared pursuant to Section 807-a, Education Law:
RETENTION: 3 years
NOTE: Although Section 807-a of Education Law authorizes school authorities to destroy these reports after 3 years, the State Archives strongly urges that school authorities holding the "official" or "record" copies of these reports retain these records for 21 years to meet possible legal needs, including for use in personal injury litigation involving minors.
- b Structural safety inspection reports and building condition surveys, required by Section 409-d, Education Law and 8NYCRR 155.4:
RETENTION: 21 years
- c Visual inspection reports, required by 8NYCRR 155.4:
RETENTION: 5 years
- d Records other than reports and surveys covered by parts "a," "b" and "c," above:
RETENTION: 3 years

930

ED1 35,

Emergency medical training records

including defibrillator training, covering local government employees and students who receive training

NOTE: This item covers records of emergency medical training received by school personnel and students. For records of emergency medical training courses for which schools, BOCES or other ED-1 users are course sponsors, see item no. 915 in the Instruction subsection.

- a Training and certification applications and lists of persons who have taken or need to take training:
RETENTION: 0 after superseded or obsolete
- b Original entry training records, when posted to summary record:
RETENTION: 1 year
- c Original entry training records, when not posted to summary record:
RETENTION: 7 years
- d Summary record of training:
RETENTION: 6 years after individual leaves service or student graduates or would normally have graduated from high school, but no less than 7 years
NOTE: Local officials may wish to keep these records longer, possibly for the career of the individual, if the records are consulted throughout that period.
- e Course materials, except final or annual reports:
RETENTION: 7 years after course completed

Special Education: Individual Student Records

NOTE: Section 300.624(b) of 34 CFR requires school districts and BOCES to destroy, at the parent's request pursuant to Section 300.624(a), "personally identifiable information" contained in these records, when this information "is no longer needed to provide educational services to the child." However, pursuant to Section 300.624(b), "a permanent record of the 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." (See item no. 934, below, and item no. 948, in the Student Records subsection.) Such destruction may occur before the legal minimum retention period stated above has arrived, **if it is conducted strictly according to the procedures outlined in federal regulations and guidelines provided by the federal Department of Education and the New York State Education Department's Office for Special Education Services.**

School districts and BOCES should carefully determine what educational needs warrant retention of any records which parents might request be destroyed. In informing parents of their rights, school districts and BOCES may also wish to remind parents that certain records with personally identifiable information may be useful in the future to the parents or children for other purposes, such as for social security benefits or to qualify for future services from the New York State Office for People With Developmental Disabilities. To protect the school district or BOCES in the case of a future request for records destroyed at parental request, school officials should consider maintaining a record of any such destruction done at parental request with remaining records in the applicable set of records. For additional information, contact the State Education Department, Office of Special Education, Special Education Quality Assurance.

◆ 931

ED1 267,

Special education file

of student (including both school-age students and preschool children) with a disability

NOTE: This does not cover summary data found in the student's cumulative education

record which are covered under item no. 948. Records documenting students' Career Development and Occupational Studies (CDOS) commencement credentials and Skills and Achievement Commencement Credentials for Students with Severe Disabilities are covered by item 948a in the Student Records subsection.

- a Student information sheet, most recent year's IEP (Individualized Education Program), evaluation record, student exit summary, and summary record (if created):

RETENTION: 6 years after student graduates/would normally have graduated from high school or 6 years after student attains age 21, whichever is shorter

NOTE: These records may be needed more than 6 years beyond the student's graduation or 21st birthday to verify previous disability, especially in connection with applications by former students for social security or other benefits. At the same time, unnecessarily long retention of these records may jeopardize the personal privacy safeguards contained in Section 300 of Title 34 of the Code of Federal Regulations. School districts and BOCES should weigh these concerns carefully and consult their attorney or counsel before establishing policy concerning retention of these records beyond their legal minimum retention periods.

- b Other special education records including but not limited to attendance record, copy of high school transcript or student progress reports, referral form, individual evaluations, IEP's (except most recent), behavior intervention plan (except most recent) parent communication, agency communication, and attendance/staff reports, behavior/staff changes records, test papers, psychologists' notes and "protocols," regardless of whether or not student is declassified from special education:

RETENTION: 6 years

NOTE: Health records should be filed in the student's health record in the Health subsection.

- c Federal Medical Assistance records for Special Education and Case Management Services, including but not limited to all documentation, logs, surveys, reports, remittance statements and memoranda of advisements pursuant to the School Supportive Health Services Program (SSHSP) and the Preschool Supportive Health Services Program (PSHSP):

RETENTION: 6 years after date of payment to school district or BOCES

932

ED1 365,

Records of special education "committee minutes,"

where needs of various students and their progress and problems are discussed, when significant information is transferred or posted to individual student special education records:

RETENTION: 6 years

NOTE: If significant information is not transferred or posted to the special education file for each individual student, then these records must be retained for 6 years after student graduates/would normally have graduated from high school or 6 years after student attains age 21, whichever is shorter, as per item no. 931a. Committees covered by this

item include committees on special education, and subcommittees on special education.

- 933** ED1 271,
Referral service records of preschool student with a disability,
 including but not limited to intake information record, record of referral for services,
 follow-up review record, and correspondence:
 RETENTION: 6 years
- 934** ED1 366,
Basic record listing special education student's name, address, phone number,
grades, attendance record, classes attended, grade level completed, and year
completed,
 created pursuant to Section 300.624(b) of 34 CFR:
 RETENTION: 6 years after student graduates/would normally have graduated from high
 school or 6 years after student attains age 21, whichever is shorter
 NOTE: This item covers the "basic record" for special education students which some
 schools maintain separate from the student's "permanent record card" (see item no. 948
 in the Student Records subsection). If information from this separate "basic record" is
 included in the student's "permanent record card", which must be retained permanently,
 then the retention period for this record is 0 after no longer needed. If the student's
 "permanent record card" does not, however, contain any reference to specific education
 status, then school districts and BOCES should consider retaining this record
 permanently. Federal regulations permit the maintenance of a "permanent record"
 containing this information "without time limitation." Schools which maintain a single
 "permanent record" for all students, including special education students, should use
 item no. 948, from the Student Records subsection, to authorize records disposition.
- 935** ED1 367,
Basic data on any student contained in an automated special education records
system,
 including name, age, sex, personal identification (social security number or other
 number used to identify student), address, grade and/or class, type of disability, referral
 date, date service initiated, date of declassification, and level of service:
 RETENTION: 0 after no longer needed
 NOTE: School districts and BOCES should consider permanent retention of the basic
 data elements of these special education records systems on an annual or biannual basis,
 such as at the beginning and/or end of the school year. This information may be useful
 for long-range planning purposes, such as projecting trends in special education needs
 and services. Contact the State Archives for additional advice in this area.
- 936** ED1 376,
Documentation of regular updates made to basic data contained in special
education data file,
 such as covering corrections, deletions or additions to data:
 RETENTION: 1 year

Special Education: Financial Tracking and Reporting

- 937 ED1 268,
State agency notification to school district identifying student with a disability placed in residential facility,
(State Education Department STAC [System for Tracking and Accounting for Children] 200 Form or equivalent) prepared by state agency other than State Education Department:
RETENTION: 6 years after notice superseded, or student attains age 21, whichever is shorter
- 938 ED1 269,
Commissioner of Education approval for providing and funding special education services,
(State Education Department STAC [System for Tracking and Accounting for Children] 3 Form or equivalent), identifying child, services provider, and type, duration and cost of services:
RETENTION: 6 years
- 939 ED1 270,
Federal assistance records for special education,
including but not limited to application, advisement, eligible student survey form, reports, statement of payment and memorandum of instruction:
RETENTION: 6 years

Special Education: Program Administration

- 940 ED1 368,
Plans prepared in relation to providing special education services
- a School district annual or biennial plan outlining special program and education services, required by Section 200.2(c) of 8NYCRR:
RETENTION: PERMANENT
 - b Special education space requirement plan developed by BOCES, including related correspondence and any amendments:
RETENTION: 6 years after superseded
- 941 ED1 369,
Reports relating to special education program
(not covered by other items in this Schedule)
- a Summary reports of student data:
RETENTION: 6 years

- b Annual and other reports covering the evaluation, referral, placement and review processes, and IEP (Individualized Education Program) development:
RETENTION: 6 years

942 ED1 370,

Waivers permitting a school district or BOCES to implement an innovative special education program,

along with applications, correspondence, reports and all related records

- a Waiver granted on an annual basis:
RETENTION: 6 years
- b Waiver granted on a permanent basis:
RETENTION: 6 years after expiration
- c Annual or other reports submitted to New York State Education Department (SED) regarding operation and evaluation of the program:
RETENTION: 6 years

943 ED1 371,

Records of special education program monitoring by New York State Education Department (SED),

including but not limited to monitoring report, response and records of any resulting action taken:

RETENTION: 6 years after date of most recent entry in record, or until the next program review is completed, whichever is later

Special Education: Miscellaneous

944 ED1 372,

Census and register of students with disabilities

residing in school district, eligible to attend school or pre-school special education program:

RETENTION: 6 years

NOTE: This item does not cover the school census listing all persons of school age residing in the district which is covered by item no. 956, found in the Student Records section, Student Information Systems and Related Records subsection. If the general school census and the census and register of students with disabilities are one and the same record, follow the instructions given under item no. 956.

945 ED1 373,

Lists maintained in relation to providing special education services,

including but not limited to list of names and resumes of impartial hearing officers, list of free or low-cost legal and other relevant services, list of public and private agencies and other professional resources where independent evaluations may be obtained, list of potential surrogate parents, and list of preschool programs:

RETENTION: 6 years

NOTE: This does not cover the register, census or list of students with disabilities, which is covered by item no. 944.

946 ED1 374,

Requests for access to special education records

- a Requests for access by parents and authorized employees:
RETENTION: 1 year
- b All other requests, maintained pursuant to Section 300.563 of 34 CFR, including name of party requesting access, date access denied or granted, and purpose for which access is requested:
RETENTION: 5 years

947 ED1 375,

Records of special education testing of students,

where students are not classified as requiring special education

- a Lists of students tested but not classified:
RETENTION: 6 years
- b Records relating to individual student not classified, including but not limited to referral, results of testing and evaluation report:
RETENTION: 0 after student attains age 21, but not less than 6 years

Student Records: Academic Records

◆ **NOTE:** Provisions of the Common Core Implementation Reform Act (Chapter 56 of the Laws of 2014, Part AA, Subpart B), NYS Education Law § 305(45) and (46)), and SED's implementing regulations (Section 104.3 of the Regulations of the Commissioner of Education), prohibit school districts and BOCES from including a student's individual scores on a State administered standardized English language arts (ELA) or mathematics assessment for grades 3 through 8 on the student's transcript, and from maintaining these scores in the student's permanent record.

◆ **948** ED1 275,

Student cumulative education record file (including "permanent record card")

NOTE: This covers resident full-time students, including those receiving home instruction and non-resident full-time students paying tuition. The birth names of transgender and gender nonconforming students should be stored in a separate folder from the student's permanent academic record in part "a" and kept confidential, but maintained permanently.

- a Cumulative achievement record equivalent (sometimes known as "Permanent Record Card") for elementary and secondary school, New York State career development and occupational studies (CDOS) commencement credential, and skills and achievement commencement credential, including but not limited to information on school entry, withdrawal and graduation, subjects taken, grades

received from examinations, career plan in effect during the school year in which the student exits high school, and work skills employability profile:

RETENTION: PERMANENT

- b Other student records, including but not limited to registration record; screening evaluation reports; home language questionnaire, English language proficiency identification assessment results, and related records; remedial program participation record; Section 504 evaluations, accommodation plans and related records; state assessment opt out records; counselor notes; teacher comments; correspondence; and transfer or discharge notice:
RETENTION: 6 years after student graduates or would normally have graduated from high school
- c Examination (including Regents examination) test results, local proficiency test results, papers and answer sheets, homework, and duplicate copies of report cards when information regarding subjects taken and final grades received is posted to the pupil's cumulative achievement record:
RETENTION: 2 years after end of school year
- d Program admission application, when application is approved:
RETENTION: 6 years or student participation in program terminates, whichever is later
- e Program admission application, when application is not approved or student does not enroll in program:
RETENTION: 3 years
- f Cumulative achievement record maintained by BOCES, including information on credits, grades, attendance, instructors' comments and employability profile:
RETENTION: PERMANENT
- g Other student records maintained by BOCES, including annual and periodic progress reports, from which information is posted to cumulative achievement record:
RETENTION: 6 years after student graduates or would normally have graduated from high school
- h School district's copy of BOCES cumulative achievement and other BOCES student records:
RETENTION: 6 years after student graduates or would normally have graduated from high school
- i Copies or abstracts of student records, sent by a high, middle, and/or intermediate school in another district to elementary, middle, and/or intermediate school which student had attended, and which district does not operate a high, middle school, and/or intermediate school itself:
RETENTION: 0 after no longer needed
NOTE: For copies of student records received from other school districts that do operate a high, middle, and/or intermediate school, use item no. 19.
- j Unclaimed diplomas:
RETENTION: 1 year

NOTE: School districts and BOCES may wish to keep these records longer for convenience of both school personnel and graduates who may request their diploma at some later date.

- k Proof of residency records for student, excluding residency investigations and hearing records:

RETENTION: Retain most current until 6 years after student graduates or would normally have graduated from high school. Destroy older proofs 6 years after superseded.

◆ 949

ED1 281,

Student records covering non-district students, and students attending high school equivalency, alternative learning, driver's education, and adult education courses including records related to the National External Diploma Program (NEDP) and Comprehensive Adult Student Assessment Systems (CASAS)

NOTE: This does not cover non-resident full-time students paying tuition. Their records are covered by item no. 948. This item does cover records of students who pay tuition and reside in another district, but take occasional courses in the district where these records are maintained. It also covers records of resident students taking high school equivalency or non-diploma courses and adult residents taking BOCES career and technical education courses.

- a Student records, including but not limited to parental consent, approval from student's school district, program participation application, summary of participant achievements and attendance, record of courses taken including grades and examination results, but excluding examination test papers and answer sheets:

RETENTION: 0 after student attains age 24, but not less than 6 years

- b Examination test papers and answer sheets:

RETENTION: 1 year

950

ED1 377,

Student portfolio,

containing samples of a student's best work, and including progress reports and grades (where applicable):

RETENTION: 6 years after student graduates or would normally have graduated from high school

NOTE: The student and teacher may weed out and dispose of individual student papers in the portfolio at the end of each school year, providing samples of the student's best work are retained as specified above.

◆ 951

ED1 276,

Certificate of Regents high school and college entrance diplomas issued or Career Development and Occupational Studies (CDOS) commencement credentials and Skills and Achievement Commencement Credentials for Students with Severe Disabilities issued

- a If posted to cumulative achievement record:

RETENTION: 0 after posting

- b If not posted to cumulative achievement record:
RETENTION: PERMANENT

952 ED1 277,

Examination records,

relating to Regents preliminary and literacy examinations, created prior to 1970:

RETENTION: 0 after no longer needed

Student Records: Student Information Systems and Related Records

NOTE: Many school districts and BOCES maintain data on students in automated systems, known generically as "Student Information Systems." These systems usually contain certain basic or core data on each student. The basic data elements usually consist of the name, age, sex, personal identification (social security number or other number used to identify student), address, grade and/or class of each student. This information may be kept in electronic format or in paper printout lists or microform output. If it is kept in electronic format, it need not be maintained online, but may be stored on external media if desired.

Student information systems typically include school census data, in fact some systems are based on a single record covering the entire family rather than an individual student. The retention periods for census information on the family of a student is covered by item no. 956, below. Student information systems also typically contain summary academic/grade and attendance information. They may also contain detailed grade and attendance data. Retention of academic/grade and attendance information is specified in the Academic Records and Attendance Records subsections.

Student information systems often contain information in other areas, such as student health, special education, discipline, class and bus scheduling, awards and honors, and athletics. These records are covered by items at various locations throughout the School District and BOCES section. These items and retention periods apply to these records, regardless if they are contained in or generated by a student information system.

953 ED1 378,

Basic data on any student contained in or produced by an automated student information system, information system,

including name, age, sex, personal identification (social security number or other number used to identify student), address, grade and/or class:

RETENTION: 0 after no longer needed

NOTE: School districts and BOCES should consider permanent retention of the basic data elements of these student information systems on an annual or bi-annual basis, such as at the beginning and/or end of the school year. This information may be useful for long-range planning purposes, teaching with historical records projects, and community history research. Contact the State Archives for additional advice.

954 ED1 379,

Lists of students

created prior to or in lieu of the maintenance of student data in automated student information systems, containing such information as student's age, sex, personal identification (social security number or other number used to identify student), address, grade and/or class, and sometimes ethnicity, summary grade, attendance and department information

a All lists created prior to 1910:
RETENTION: PERMANENT

b Lists created since 1910:
RETENTION: 0 after no longer needed

NOTE: School districts and BOCES should consider permanent retention of these lists on an annual or bi-annual basis, such as at the beginning and/or end of the school year. This information may be useful for long-range planning purposes, teaching with historical records projects, and community history research. Contact the State Archives for additional advice in these areas.

955 ED1 380,

Documentation of regular updates made to student lists or student data file,
such as covering corrections, deletions or additions to student data:

RETENTION: 1 year

956 ED1 43,

School census records

NOTE: The Census and Register of Students With Disabilities is covered by item no. 944, found in the Special Education subsection. If the (general) school census, covered by this item, and the Census and Register of Students with Disabilities are one and the same record, this item covers its retention.

a All school census records created prior to 1949 (some early 19th century census records only list names of parents) including so-called "attendance registers" used between 1895 and 1928, in booklet form provided by the State Office of Public Instruction, later the State Education Department (these booklets also contain the school census, trustees' annual reports, registers of visitors, and other information); and school census and enrollment reports, created between 1929 and circa 1949, in booklets provided by the State Education Department, or their equivalents:

RETENTION: PERMANENT

b Post-1949 school census records, maintained in updateable card-file format:
RETENTION: 6 years after information it contains becomes obsolete

NOTE: While not required to do so, school districts and BOCES may wish to retain some school census records maintained in this format permanently for local and family history research and teaching with historical records projects. Contact the State Archives if you would like additional information on this subject, or to discuss your district's census records in detail.

c Post-1949 school census records, maintained in list, booklet, computer printout or electronic format:

RETENTION: Retain one complete census permanently for every 5 year interval; retain others for 6 years

957

ED1 272,

Pupil personnel cumulative record (guidance folder),

containing information on all aspects of student's school career:

RETENTION: 6 years after student graduates or would have normally graduated from high school

Student Records: Attendance Records

958

ED1 44,

Student's attendance record (register),

including but not limited to each student's name, date of birth, names of parents or guardian, address, and daily attendance, absence and tardiness

- a All attendance records created prior to 1929, including "attendance registers" used between 1895 and 1928, in booklet form provided by the State Office of Public Instruction, later State Education Department (these booklets also contain the school census, trustees' annual reports, registers of visitors, and other information):

RETENTION: PERMANENT

- b "Attendance registers" used from 1929 to the present, containing information set forth in Section 104.1 of 8NYCRR:

RETENTION: 6 years

NOTE: If annual or bi-annual lists of students are not available for certain school years, school districts and BOCES may wish (but are not required) to retain post-1929 attendance registers for those years in their place to provide students' names. If separate student lists are available, school districts and BOCES may wish to retain examples of the detailed post-1929 attendance registers for use in historical research or in teaching with historical records projects. Contact the State Archives for additional advice in this area.

- c Detailed attendance data contained in electronic format in student information systems, or maintained as system output:

RETENTION: 6 years

- d Employee oath or affirmation related to verification of the student attendance register:

RETENTION: Retain as long as the attendance register to which it relates

959

ED1 46,

Student's absence record,

including but not limited to parent's excuse, investigation report, and record of attendance at religious observance or education:

RETENTION: 1 year after end of school year

960

ED1 49,

Attendance reports and other summary attendance records, not
containing detailed information on individual absences

- a Annual or bi-annual attendance report:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Annual reports containing attendance information submitted to the State Education Department for State aid reimbursement purposes are covered by item no. 881 in the School District and BOCES section, Administration subsection.

- b Periodic reports and other records used to complete annual or bi-annual report:

RETENTION: 1 year

Student Records: Extra-Curricular Activities

961

ED1 93,

Student organization records

- a Lists of members or participants, records of activities, competitions and performances, and other records of officially-supported student organizations except scouting records and scouting and training videos:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. Photographs and videos of and programs for certain competitions and performances may have historical value in documenting student activities. Records with historical value should be retained permanently. Parental consents are covered by item no. 969, below. Health related records are found in the School District and BOCES section, Health subsection.

- b Scouting reports and videos used for scouting and training purposes:

RETENTION: 0 after no longer needed

962

ED1 94,

Athletic program records

- a Lists of athletes or participants, records of interscholastic competitions and intramural athletics, and other records except scouting records and scouting and training videos:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. Official score and record books, team and action photographs and videos of and programs for interscholastic competitions may have historical value in documenting interscholastic student athletics. Records with historical value should be retained permanently. Parental consents are covered by item no. 969, below. Health related records are found in the School District and BOCES section, Health subsection.

- b Scouting reports and videos used for scouting and training purposes:
RETENTION: 0 after no longer needed

963 ED1 381,

Fund raising records

generated by student organizations, athletic teams and "booster clubs" to help support extra-curricular activities:

RETENTION: 6 years

964 ED1 280,

Extra-curricular activity selection and evaluation records,

including applications, nominations, qualifications, evaluations, ratings, voting records, records of appeals of selection or evaluation decisions, lists of students or student materials selected or not selected, and related records concerning the selection or evaluation of students or student materials for participation or inclusion in activities such as athletic teams, the National Honor Society, the National Junior Honor Society, school plays, school art shows, school newspapers or literary magazines, and other activities:

RETENTION: 6 months after end of selection or evaluation process or 6 months after final resolution of any appeal of a selection or evaluation decision, whichever is later

Student Records: Miscellaneous

965 ED1 274,

Student employment certificate record ("working papers"),

including but not limited to application, evidence of age, parent's consent, physical fitness certificate, and employment certificate or rejection of application:

RETENTION: 0 after student attains age 21

966 ED1 278,

Student disciplinary records,

including but not limited to detention notice, suspension notice, suspension hearing record, correspondence, and related records

- a Records of major disciplinary actions, including suspensions:

RETENTION: 3 years after end of school year, but no less than 3 years after student attains age 18

- b Records of minor disciplinary actions:

RETENTION: 3 years after end of school year

NOTE: School districts and BOCES may wish to retain all or select records of minor disciplinary actions for a lengthier period, especially in situations where the records may be needed for use in litigation alleging that a student was improperly disciplined due to an unrecognized learning disability. Such litigation could potentially commence up to the time when the student attains age 21.

967 ED1 279,
Scholarship program records,
 (covering academic, athletic or other scholarships) including but not limited to scholarship applications, list of eligible candidates, list of competition winners and alternates, and reports:
 RETENTION: 1 year after scholarships awarded
 NOTE: Policies and procedures for awarding and administering scholarships are covered under item no. 52 and consideration should be made to retain these records until the scholarship program is discontinued.

968 ED1 282,
Records of gifts and prizes awarded students:
 RETENTION: 3 years

969 ED1 47,
School bus pass and parent's consent
 for student to participate in, or request for student to be excused from, specific activity, including but not limited to physical education program, field trip, or athletic program:
 RETENTION: 1 year after end of school year

970 ED1 382,
Missing child notification and related records,
 received from State Division of Criminal Justice Services

- a Notification of missing child and need to "flag" student record, and subsequent notification to remove "flag" from record, when missing child is located:
 RETENTION: 0 after receiving notification that child is no longer missing
- b Notification of missing child and need to "flag" student record, when child is not reported as having been located:
 RETENTION: 6 years after student graduates or would normally have graduated from high school
- c Letter of notification, and letter of correction, when child reported missing is identified as not having been a student at school district receiving notification:
 RETENTION: 1 year

◆ 971
Student emergency contact record,
 including the names, addresses, phone numbers, and other information for individuals designated as student emergency contacts. Information may be used in conjunction with school safety and disaster plans:
 RETENTION: Destroy when information is superseded or student leaves the district, whichever is shorter

◆ 972
Records of compliance with the Family Educational Rights and Privacy Act of 1974 (FERPA) and related legislation

concerning access to student education records and participation in surveys on or activities in designated areas

- a Request for hearing on content of student education records, decision of hearing, and student statement on content of disputed record:
RETENTION: Retain for the same period the disputed records are maintained
- b Record of requests for access to and disclosures of personally identifiable information from the student education records, as required by FERPA regulations:
RETENTION: Retain for the same period the requested records are maintained
NOTE: For records of requests for student information which are not subject to FERPA requirements, see item no. 53 in the General Administration section.
Requests by students for information on themselves are covered by item no. 948.
- c Request for nondisclosure of directory information or non-participation in surveys on or activities in designated areas:
RETENTION: 1 year after request is terminated or is no longer valid or 1 year after the concerned records are no longer maintained
- d Consent for records disclosure:
RETENTION: 1 year after consent is terminated or 1 year after the concerned records are no longer maintained
- e Waiver of right to inspect and review confidential letters and statements placed in student education records:
RETENTION: 1 year after waiver is terminated or 1 year after the concerned records are no longer maintained
- f Directory Information Policy Statement:
RETENTION: PERMANENT
- g Annual or other notice of rights under FERPA or related legislation concerning access to student records or participation in surveys on or activities in designated areas:
RETENTION: 3 years after issued or superseded or obsolete, whichever is later

Supplemental Education Services

NOTE: This section covers Compensatory Education, Academic Invention Services (AIS), Language Proficiency, and equivalent supplemental education programs.

NOTE: Records documenting the initial identification and any subsequent review process of English proficiency are covered under the student's cumulative record, item no. 948b.

973

ED1 315,

Supplemental education records for individual student,

including but not limited to letters of notification to parent(s) or guardian(s), copies of individual test results, parental or guardian consent (if applicable), student's

personalized plan, student final and other progress reports, but not including individual student progress log:

RETENTION: 6 years

NOTE: For records of supplemental education services included in an individual student's cumulative education file, see item no. 948 in the Student Records subsection.

974 ED1 316,

Individual student progress log:

RETENTION: 1 year

975 ED1 317,

Lists of students enrolled in supplemental education programs

a Master list of students, created annually or for each class:

RETENTION: 20 years

b Other lists of students, created for internal administrative purposes:

RETENTION: 0 after no longer needed

976 ED1 318,

Application to the State Education Department to conduct supplemental education program,

including district plan and related records

a District plan for conducting program:

RETENTION: PERMANENT

b Other related records, including plan development and submission records, background material and supporting documentation:

RETENTION: 6 years after program ends

977 ED1 319,

Records of program monitoring by the State Education Department,

including but not limited to notification of visit, monitoring report, response and records of any resulting action taken:

RETENTION: 6 years after date of most recent entry in record

978 ED1 320,

Payroll breakdown and other background documentation of program,

providing information such as details of program time spent by individual staff members:

RETENTION: 6 years

979 ED1 321,

Supplemental education testing records covering tests conducted under Local Education Agency Programs (LEAP) or equivalent programs,

used to determine eligibility for supplemental education programs, submitted to New York State Education Department

a Data maintained by school district:

RETENTION: 5 years

- b Duplicate school district data maintained by BOCES:
RETENTION: 0 after no longer needed
- c Testing eligibility determination and testing protocols, official copies of tests, and summary records describing testing programs:
RETENTION: PERMANENT
- d Summary records of test results:
RETENTION: 6 years
- e Test papers, answer sheets, test administration notes, test schedules and other routine test administration records:
RETENTION: 1 year after end of school year

980 ED1 494,

Records of supplemental education testing of students, where students are NOT determined to need supplemental education

- a Lists of students tested but not entered in supplemental education program:
RETENTION: 6 years
- b Records relating to individual student not entered in supplemental education program:
RETENTION: 0 after student attains age 21, but not less than 6 years

981 ED1 496,

Records covering outside providers of supplemental education services

NOTE: Records dealing with individual students, including specific requests to receive services from outside providers, are covered by item no. 973.

- a Lists of outside providers of services and lists of students receiving services from specific providers:
RETENTION: 1 year after superseded or obsolete
- b Outside provider files, excluding contracts and legal agreements:
RETENTION: 6 years after outside provider no longer used by school district or BOCES
- c Contracts or legal agreements with outside providers:
RETENTION: 6 years after expiration or termination or 6 years after final payment under contract, whichever is later

Teacher Resource and Computer Training Center

982 ED1 294,

Annual and semi-annual statistical, narrative and fiscal reports
submitted to the State Education Department:
RETENTION: PERMANENT

◆ 983 ED1 295,

Course records

- a Official copy of brochure or other publication announcing and describing courses to be offered:
RETENTION: PERMANENT
- b Attendance records for course:
RETENTION: 8 years
- c Course development records, including, but not limited to, course proposal, instructor's name and curriculum vitae, and evaluation of the need for the course:
RETENTION: 8 years

◆ 984 ED1 296,

Workshop records

- a Official copy of brochure or other publication announcing and describing workshops to be offered:
RETENTION: PERMANENT
- b Attendance records for workshop:
RETENTION: 8 years
- c Records of credits awarded for workshop attendance (if applicable):
RETENTION: 0 after posted to individual earnings (in-service) credit record
NOTE: If credits are awarded for workshop attendance, and these are not posted to individual earnings (in-service) credit record, these records must be retained for 55 years.
- d Workshop development records, including, but not limited to, course proposal, instructor's name and curriculum vitae, and evaluation of the need for the course:
RETENTION: 8 years

985 ED1 297,

Individual earnings (in-service) credit record,

including information on courses attended and credits earned:

RETENTION: 75 years after date of birth of employee or 55 years after earliest document in file if date of birth is not known

NOTE: Schools and BOCES should maintain records of individual earnings (inservice) credits as part of personnel files. See item no. 636 in the Personnel/Civil Service section.

986 ED1 298,

Course and workshop registration records,

including but not limited to course registration and approval form, registration acknowledgement and rejection or cancellation notice:

RETENTION: 1 year

◆ 987 ED1 299,

Course evaluation and survey records

- a Official copy of evaluation or survey form and instructions:

RETENTION: 8 years

- b Summary of evaluation or survey results:

RETENTION: 8 years

- c Individual returned evaluation or survey forms:

RETENTION: 0 after summary of results completed

988 ED1 300,

Listing of canceled courses or workshops:

RETENTION: 1 year

989 ED1 301,

Grading and scoring records for individual teacher,

including records of grading and scoring of college level courses attended:

RETENTION: 2 years

Transportation: School Bus Routing and Scheduling

NOTE: Some school districts and BOCES employ automated systems to handle their school bus routing and scheduling. Some of these systems have Geographic Information System (G.I.S.) capabilities, permitting the use of computer mapping to assist in the bus routing and scheduling, and having the ability to perform some analysis of spatial data. The items below are meant to cover not only electronic records contained in these automated systems, but also maps, reports and other system output maintained in both traditional hard copy and electronic format as well. These items also cover manually-generated records of districts and BOCES which do not employ automated systems for bus routing and scheduling.

Some school bus routing and scheduling G.I.S. contain components permitting mapping and other spatial data analysis useful in other areas, such as planning for facility construction and reorganizing school boundaries within a district. While these records cover functions broader than merely bus routing and scheduling, because these records are contained in and generated by bus routing and scheduling systems, these planning-related records are listed below.

990 ED1 386,

Automated road/street file or data layer contained in school bus routing and scheduling G.I.S.:

RETENTION: Maintain as updated data file as long as system is in use, and for 1 year after system upgraded or replaced

991 ED1 387,

Automated student data file contained in school bus routing and scheduling G.I.S. or other automated system, G.I.S. or other automated system,

used primarily for school bus routing and scheduling:

RETENTION: Maintain as updated data file as long as system is in use, and for 1 year

after system upgraded or replaced

NOTE: If this data file also serves as the basic data file of an automated student information system (see item no. 953 in the Student Records: Student Information Systems and Related Records subsection), or if no automated student information system exists and this data file constitutes the school district's or BOCES' only record listing and providing basic information on all students, the school district or BOCES should consider permanent retention of the basic data elements. See note to item no. 953 for additional information.

992 ED1 389,
Automated individual school information data file (sometimes contained in school bus routing and scheduling G.I.S.)

containing basic data on school building and its administration, and summary student information, for each school within a district:

RETENTION: Maintain as updated data file as long as system is in use, and for 6 years after system upgraded or replaced

993 ED1 499,
Transportation-related system operation history file,

containing significant data and/or periodic data snapshots, generated from detailed system data

NOTE: Appraise these records for archival value. History files may contain valuable information to document system operation over a period of time. Contact the State Archives for additional advice in this area.

a When created at regular intervals, such as annually:

RETENTION: 0 after no longer needed

b Created when data from this file is used in conjunction with planning reports, studies or special projects:

RETENTION: Retain as long as the reports, studies and other principal records for which the history file or snapshots are created are retained.

994 ED1 500,
Records of updates, corrections and confirmations to data files

used in automated transportation-related systems, including assignments:

RETENTION: 1 month

995 ED1 302,
Transportation-related routing and scheduling reports, studies or data queries,
 including documentation of macros, queries, and reports:

RETENTION: 0 after no longer needed

NOTE: Appraise the records for archival value. Certain reports and studies may be valuable for long-term planning and for historical and other research. Contact the State Archives for additional advice. Macros or queries are created for a number of reasons. For example, an automated system might be used to produce maps and reports which recommend and lead to construction of an additional elementary school in a school

district. In this case, the system output reports and maps should be retained permanently. The State Archives recommends that any macro or query created as part of this process also be retained as long as the resulting report or study. See also item no. 998.

- 996** ED1 305,
School bus route schedule, map or diagram,
 including such information as locations and times of stops and number of students transported
- a Schedule, map or diagram produced periodically to show routes usually traveled by school buses:
 RETENTION: 6 years after superseded or obsolete
 - b Schedule, map or diagram produced daily or for each trip, showing route traveled on particular day or trip by school bus:
 RETENTION: 1 month
- 997** ED1 390,
Routine correspondence and similar records relating to school bus routing and scheduling,
 included but not limited to letters and maps of bus routes sent to parents and correspondence received relating to updating information on bus routes and schedules:
 RETENTION: 1 year
- 998** ED1 391,
Planning studies conducted using school bus routing and scheduling or other automated system,
 covering areas such as new school facility construction and alteration of boundaries within district
- a Official copy of publications, videotapes, or informational literature prepared for public distribution:
 RETENTION: PERMANENT
 - b Final maps, plans, statistical tables, reports and studies:
 RETENTION: PERMANENT
 - c Background materials and supporting documentation:
 RETENTION: 6 years after project completed, or after date of final entry in record
- 999** ED1 501,
System operational records of original entry
 created in non-automated system or used for data entry or verification, where significant information is data entered or posted to reports and other summary records, including but not limited to tachographic charts and other records generated by vehicle data recorders:
 RETENTION: 0 after no longer needed for administrative or legal purposes and relevant information posted to summary record
 NOTE: Records custodians should consult their attorney or counsel before these records

are disposed of regarding any potential legal value. Recordings of serious incidents may warrant longer retention for legal reasons. Tapes or other records generated by data recorders should be retained until legal action is resolved.

Transportation: Other School Transportation Records

NOTE: School bus camera recordings are covered by item no. 846 in Public Property and Equipment section.

- ◆ **1001** ED1 303,
School bus driver qualification file,
 including but not limited to driver training certificates, character references, application for employment, physical examination, driving examination and training records

 - a For employees of school district or BOCES:
 RETENTION: 6 years after termination of employment
 - b For individuals who are not employees of school district or BOCES:
 RETENTION: 3 years
- 1002** ED1 304,
School bus purchase and capacity approval application records:
 RETENTION: 0 after no longer needed
 NOTE: This item does not cover school bus purchase files, which are covered by item no. 547 in the Fiscal section, Purchasing subsection, and school bus maintenance files, which are covered by item no. 817 in the Public Property and Equipment section.
- 1003** ED1 306,
School bus ridership list or pupil transportation eligibility record for common carriers and contract yellow buses,
 including names of students for each trip:
 RETENTION: 6 years
- 1004** ED1 308,
Driver's daily log report:
 RETENTION: 6 years
- 1005** ED1 309,
Non-public school pupil transportation records,
 including parental requests and consents:
 RETENTION: 3 years
- 1006** ED1 392,
School bus safety drill records:
 RETENTION: 3 years

1007 ED1 395,

Field trip records,

including but not limited to trip request data; bus driver, staff and chaperone assignments; list of attendees and trip reports:

RETENTION: 6 years after date of most recent entry

1008 ED1 396,

Commuter traffic reduction program records,

covering Employee Commute Option (ECO), Transportation Demand Management (TDM), or similar program records

- a Compliance plan (initial or consolidated), including but not limited to such records as worksite profile, survey results, average passenger occupancy (APO) calculations, forecasted participation, summary of trip reduction strategies, list of worksites and implementation schedule, and also covering revisions and updates, including records relating to agency review, approval, disapproval and appeal (copies maintained by local government acting as Local Administrative Agency):
RETENTION: 6 years after superseded or obsolete

NOTE: Appraise these records for archival value. These records may be useful in providing information on relieving traffic congestion problems in certain urban areas. Contact the State Archives for additional advice.

- b Compliance plan (initial or consolidated), including but not limited to such records as worksite profile, survey results, average passenger occupancy (APO) calculations, forecasted participation, summary of trip reduction strategies, list of worksites and implementation schedule, and also covering revisions and updates (copy maintained by local government employer):

RETENTION: 3 years after superseded or obsolete

- c Bi-annual maintenance report (copy maintained by local government employer or local government acting as Local Administrative Agency):

RETENTION: 6 years

- d Information on potential participants, including list of applicants and individual employee surveys:

RETENTION: 3 years

◆ **1294**

School bus photo violation monitoring system records

NOTE: Recordings from school bus cameras used for security purposes are covered by item no. 846 in the Public Property and Equipment section. Case investigation records are covered under item no. 1222 in the Public Safety section.

- a When recording relates to specific case investigation:
RETENTION: Retain as long as the case investigation to which the recording relates is retained
- b When recording does not relate to specific case investigation:
RETENTION: 6 months