

## 4. Education

The function of education is primarily the purview of local education agencies (LEAs) but also has some activities at the state level. Education institutions subject to this schedule include Governor Morehead School for the Blind, North Carolina School for the Deaf, Eastern North Carolina School for the Deaf, state operated healthcare facilities operated by the Department of Health and Human Services (DHHS), and prisons, youth development centers, and juvenile detention centers operated by the Department of Public Safety (DPS). This schedule applies to the Governor’s School program and the curriculum and assessment standards developed by the Department of Public Instruction (DPI). This schedule also applies to agencies that oversee professional credentialing.

NOTE: Separate records retention and disposition schedules govern the records of the North Carolina Community College System campuses and the UNC System institutions.

See AGENCY MANAGEMENT for history and planning records. See GOVERNANCE for records from the State Board of Education (SBE), including textbook adoptions, charter school authorizations, and graduation requirements. See HUMAN RESOURCES for on-the-job training. See MONITORING AND COMPLIANCE for compliance with federal education mandates and teacher certification as well as oversight of charter, conventional, home, and proprietary schools. See PUBLIC RELATIONS for agency programming that does not grant credentials or diplomas. Accreditation standards and decisions are records of the SBE, while the reviews of schools by DPI staff during the accreditation process are under MONITORING AND COMPLIANCE.

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Many education records are produced on an academic year basis, so the triggers to begin the retention period are usually the end of the academic year. Many records, such as the course matrix (RC No. 413), have little value beyond the year for which it was generated and should be destroyed in office when it becomes obsolete. In all cases, it is best to organize education records chronologically. By doing so, in 2018 an agency could easily identify and destroy any classroom grades (RC No. 452) that were completed before 2017. The graduate lists produced by DPI (RC No. 456) are archival in nature; after many years of transferring to the State Archives on paper as part of annual reports, they now transfer electronically.

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.  
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Because of the federal Family Educational Rights and Privacy Act (20 USC 1232g) or FERPA (implemented in 34 CFR Part 99), most student records are confidential; therefore, the security of both paper and electronic records should be maintained at all times. (Further elaboration on the confidentiality of education records is codified in 34 CFR § 300 parts 560-577.) However, FERPA does allow for the release of directory information, which the educational institution must define but generally includes student's name, address, telephone listing, dates of attendance, grade level, participation in officially recognized activities and sports, and honors and awards received (see 34 CFR 99.3).

Juvenile offender records are conferred confidentiality by G.S. § 7B-1413, and the 1972 NC Court of Appeals decision in *Goble v. Bounds* (13 N.C. App. 579) affirmed that prison records of inmates are confidential and not subject to inspection by the public.

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### 4.1 Administration

*DEFINED: Activities related to the management of educational facilities of the Department of Health and Human Services (DHHS), the Department of Public Instruction (DPI), and the Department of Public Safety (DPS).*

*SEE ALSO: Records concerning accreditation by the Southern Association of Colleges and Schools (SACS) are under AGENCY MANAGEMENT, as are school histories and transportation reports. Scholarship and other fiscal records are under FINANCIAL MANAGEMENT. Food services records are under AGENCY MANAGEMENT and FINANCIAL MANAGEMENT. Personnel records are under HUMAN RESOURCES. Any accreditations granted by the agency **to other entities** are covered under MONITORING AND COMPLIANCE, as are any internal audits conducted to ensure compliance with federal mandates such as the National Defense Education Act (NDEA) or the Elementary and Secondary Act (ESEA). Student handbooks are considered publications under PUBLIC RELATIONS. For residential life records (e.g., visitor logs) as well as accidents or incidents that occur on school grounds, see RISK MANAGEMENT. General correspondence is under AGENCY MANAGEMENT. Library/media center records are UNDER ASSET MANAGEMENT.*

4.1

RC No.	Record Types	Description	Disposition Instructions	Citation
411.< 	Attendance Lists	individual classroom attendance records	RETAIN UNTIL: End of academic year THEN: Destroy	<u>Confidentiality</u> 20 USC 1232g
411.3		school-wide headcount reports	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
412.<	Course Matrix	includes course selection and verification reports and slips, student scheduling reports, and teacher assignments	RETAIN UNTIL: End of academic year THEN: Destroy	
413.T 	Disciplinary Actions (continued on following page)	records concerning student violations of academic or non-academic regulations; includes expulsion notices	TRANSFER to Cumulative Record when issued	<u>Confidentiality</u> 20 USC 1232g

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RC No.	Record Types	Description	Disposition Instructions	Citation
413.5 	Disciplinary Actions (cont.)	includes charges, evidence, transcripts, correspondence, and other related records; also includes residential life disciplinary actions that do not result in suspension	RETAIN UNTIL: Student graduates or separates from program PLUS: 5 years THEN: Destroy	<u>Confidentiality</u> 20 USC 1232g
414.5	Enrollments and Withdrawals	attendance records of enrollments and withdrawals from the program, including transfers and dropouts; includes attendance verifications	RETAIN UNTIL: End of academic year PLUS: 5 years THEN: Destroy	
415.P	FERPA Compliance	includes requests for formal hearings, written decisions of hearing panel, waivers for rights of access, notifications, requests for release of information, consent forms, opt-out requests, correspondence, and other related records	PERMANENT	
416.<	Field Trip Authorizations	includes dates of trips, purpose of trips, trip destinations, itineraries, parental consent forms, and other related information	RETAIN UNTIL: End of academic year THEN: Destroy	
417.1	Institutional Correspondence  SEE ALSO: Correspondence	records concerning requests for documentation from other LEAs or educational institutions; also includes responses	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
418.R	Student Associations and Organizations	includes constitutions, by-laws, newsletters, minutes, brochures, announcements, photographs, reports, scrapbooks, and other related records	RETAIN UNTIL: Reference value ends THEN: Destroy Agency Policy: _____	
419.5	Student Awards and Honors	includes recommendations, approvals, references, and other related records	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	

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RC No.	Record Types	Description	Disposition Instructions	Citation
4110.2 	Student Counseling and Advisement Records	includes advisors' notes and reports, interview forms, student test profiles, aptitude test scores, approved schedule forms, recommendations, references, career planning forms, correspondence, and other related records	RETAIN UNTIL: Student graduates or separates from program PLUS: 2 years THEN: Destroy	<u>Confidentiality</u> 20 USC 1232g
4111.< 	Student Medical Treatment Records  SEE ALSO: Accident/Incident Reports	records concerning medical attention provided to students on campus by school officials; includes injury report forms, medication and procedures logs, and other related records	RETAIN UNTIL: Student reaches age 19 THEN: Destroy*	<u>Confidentiality</u> 42 USC 1320d-2(d)(2)

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## 4.2 Credentialing

*DEFINED: Activities conducted by agencies who offer courses to non-agency personnel that are necessary for professional or recreational credentialing and re-certification.*

*SEE ALSO: The records for continuing education that is required for a position is under HUMAN RESOURCES. The records documenting education obtained in order to receive or renew a professional or recreational license are under MONITORING AND COMPLIANCE.*

4.2

RC No.	Record Types	Description	Disposition Instructions	Citation
421.S	Coursework	includes instructional materials, assessments, and other related records	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
421.A		law enforcement training materials produced by the Department of Justice	PERMANENT (archival) ∞	
421.A		comprehensive qualifying examinations written by occupational licensing boards	PERMANENT (archival) ∞	
422.5 	Participant Information	includes applications, contact information, deliverables/assessments, effective and expiration dates of certificate/permit/credential, continuing education units (CEUs), and other related records	RETAIN UNTIL: Credential expires PLUS: 5 years THEN: Destroy	<u>Confidentiality</u> G.S. § 132-1.10

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### 4.3 Curriculum and Assessment Development

*DEFINED: Activities conducted by the Department of Public Instruction (DPI) to develop Standard Courses of Study and end-of-grade and end-of-course tests. Also includes materials and assessments generated by classroom teachers.*

4.3

RC No.	Record Types	Description	Disposition Instructions	Citation
431.S	Assessments	assessments developed and administered by classroom teachers	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
431.P 		assessments developed and administered by DPI; includes end-of-grade and end-of-course tests	PERMANENT	<u>Confidentiality</u> G.S. § 115C-174.13(a) 16 NCAC 06D .0306
432.S	Course Development	includes proposals, outlines, syllabi, and pacing guides	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
433.P	Curriculum Development	Standard Courses of Study developed by DPI to define the scope and sequence of courses	PERMANENT	
434.S	Lesson Plans	lesson plans developed by individual teachers or teams	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
		lesson plans licensed from vendors	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	Abide by any relevant copyright restrictions

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#### 4.4 Governor’s School of North Carolina

*DEFINED: Activities conducted by the Department of Public Instruction (DPI) to develop and coordinate a summer residential program for intellectually gifted high school students.*

4.4

*SEE ALSO: General records regarding the operation of the Governor’s School, including histories, are under AGENCY MANAGEMENT. The records of the Board of Governors are under GOVERNANCE.*

RC No.	Record Types	Description	Disposition Instructions	Citation
441.P	Attendance Lists	lists of students attending each session	PERMANENT	
442.S	Classroom Administrative Records	includes proposals, outlines, syllabi, pacing guides, lesson plans, activities, and student work	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
443.2	Nominations	includes basic student information form and essays, personal readiness form, recommendation form, student eligibility form, and nomination form	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	
444.3	On-Site Administrative Records	records concerning the day-to-day administration of each campus; includes student activity and recreation records, correspondence, and other related records	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
445.5	Student Records	includes special needs forms, publicity releases, permission forms, personal information, health forms, disciplinary records, and other related records	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	

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### 4.5 Student Progress

*DEFINED: Records documenting K-12 student progress toward a high school diploma or graduation certificate as well as preparation for a General Educational Development (GED) test while at a Department of Health and Human Services (DHHS), Department of Public Instruction (DPI), or Department of Public Safety (DPS) facility. Youth development centers operate as LEAs, so their records are subject to the below requirement for cumulative records.*

4.5

*SEE ALSO: Patient clinical records for children receiving services from CDSAs are under HEALTHCARE.*

RC No.	Record Types	Description	Disposition Instructions	Citation
451.2 	Academic Action Authorizations	records concerning changes made to students' cumulative records	RETAIN UNTIL: Student graduates or withdraws PLUS: 2 years THEN: Destroy	<u>Confidentiality</u> 20 USC 1232g
452.1 	Classroom Grades	records maintained by teachers documenting grades earned by students on individual assignments	RETAIN UNTIL: End of academic year PLUS: 1 year THEN: Destroy	<u>Confidentiality</u> 20 USC 1232g
453.P 	Cumulative Record	records of students' pre-school, elementary and secondary educational career; includes final course grades, identification and attendance data, notices of any long-term suspensions or expulsions imposed, and such other factual information as may be deemed appropriate by the local board of education having jurisdiction over the school wherein the record is maintained	PERMANENT ©	<u>Confidentiality and Retention</u> G.S. § 115C-402
453.2 		family information, health and immunization records, accountability worksheets, standardized test dates and results, grade sheets, and other related records	RETAIN UNTIL: Student graduates or withdraws PLUS: 2 years THEN: Destroy	

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RC No.	Record Types	Description	Disposition Instructions	Citation
454.T	Driver Education Program	driver education completion certificate	TRANSFER to Cumulative Record when issued	
454.<		includes driver eligibility forms and other related records	RETAIN UNTIL: Student reaches age 18 or obtains high school diploma or its equivalent THEN: Destroy	
455.1 	Exam Reports	class record sheets, summary goal reports, individual and class roster reports, and other records related to standardized assessments	RETAIN UNTIL: End of academic year PLUS: 1 year THEN: Destroy	<u>Confidentiality</u> G.S. § 115C-174.13(b)
456.A	Graduation Lists	annual list of high school graduates compiled by DPI	PERMANENT (archival) ∞	
457.1 	Parent/Guardian Contacts	records concerning parent or guardian interactions with teachers and administrators; includes meeting notes and correspondence	RETAIN UNTIL: End of academic year PLUS: 1 year THEN: Destroy	<u>Confidentiality</u> 20 USC 1232g
458.5 	Services to Students with Disabilities  [includes qualifications under Section 504 of the 1973 Rehabilitation Act and the Individuals with Disabilities Education Act (IDEA)]  SEE ALSO: Children’s Developmental Service Agency (CDSA) Patient Clinical Records	records concerning students enrolled in DHHS, DPI, or DPS facilities; 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; operating plans; testing accommodations; meeting notes and multidisciplinary team reports; screening, placement, referral, parental consent and notification forms; correspondence and other related records; also includes records from adjudication, mediation, or due process hearings regarding the provision of services to students with disabilities	RETAIN UNTIL: Student separates from program PLUS: 5 years THEN: Destroy*  <i>NOTE: 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 be destroyed at the request of parents if no longer needed to provide educational services to the child.</i>	<u>Confidentiality</u> G.S. § 115C-114 G.S. § 115C-402 <i>Goble v. Bounds</i> (13 N.C. App 579)

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RC No.	Record Types	Description	Disposition Instructions	Citation
459.1 	Student Work	work submitted by students for individual assignments and assessments	RETAIN SAMPLES UNTIL: End of academic year THEN: Destroy  <i>NOTE: Most work is returned to student after assessment.</i>	<u>Confidentiality</u> 20 USC 1232g
4510.1	Transcript Requests	requests by students for transcripts	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
4511.T 	Transition File	records documenting credentials and certifications earned by individuals in DPS correctional facilities	RETAIN UNTIL: Release THEN: Transfer to individual	<u>Confidentiality</u> <i>Goble v. Bounds</i> (13 N.C. App 579)

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### Records That Will Transfer to the State Records Center

**421.A Coursework:** Transfer records to the State Records Center when superseded or obsolete. Records will be held for agency in the State Records Center 75 additional years and then transferred to the custody of the Archives.

Appendix

Agency	Series Title	Item Number
Department of Justice	Justice Academy Course Curriculum File	14097

**453.P Cumulative Records:** Transfer records to the State Records Center when juvenile turns 18 years old, except for violent offenders whose commitments have been extended to 19 or 21 years old, to be microfilmed for permanent security storage.

Agency	Series Title	Item Number
Department of Public Safety	Division of Youth Development Student Education File	2247

**456.A Graduation Lists:** Transfer records annually to the State Records Center upon certification by the State Board of Education for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Department of Public Instruction	N.C. High School Graduate Reports File	980 

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

 Indicates records are electronic and will transfer immediately to the custody of the State Archives