

# Allen ISD



## Records Management Procedures

**Introduction:**

The Local Government Records Act of 1989 [and changes that were enacted by the 74<sup>th</sup> Legislature in 1995], requires all local governments to establish a records management program by ordinance, order or resolution and file it with the Texas State Library and Archives Commission (TSLAC). All local governments must file records control schedules or a written declaration of adoption of the State schedules.

Allen Independent School District filed its official records control schedule by the initial deadline and has continued to update its records control schedule. The records control schedule is categorized by “record series”. A record series is a group of identical or related documents that are normally used or filed as a unit and have the same retention period. Refer to the attached Records Control Schedules for Allen ISD. Additional information related to the Texas State Library and Archives Commission’s schedules and guidelines are available from the TSLAC website at:

<http://www.tsl.state.tx.us/slr/recordspubs/localrec/>

**The Benefits of a Records Management Program are:**

- Compliance with state requirements
- Legal protection when records are destroyed
- Efficient use of office space for active records
- Affordable upkeep of inactive records
- Improved protection of vital records

**What is a record?**

All documents, papers, letters, books, maps, photographs, sound or video recordings, microfilm, magnetic tape, electronic media, or other information recording media, regardless of physical form or characteristic and regardless of whether public access to it is open or restricted under the laws of the state, created or received by the Allen Independent School District or any of its officers or employees pursuant to law or in the transaction of public business are considered to be the records of the Allen Independent School District and shall be created, maintained and disposed of in accordance with the provisions of this plan.

The term does not include:

- Extra identical copies of documents created only for convenience of reference or research by District officers or employees.
- Notes, journals, diaries, and similar documents created by a District officer or employee for his or her own personal convenience.

- Blank forms, stocks or publications, and library and museum materials acquired solely for the purposes of reference or display.
- Copies of documents in any media furnished to the public under the Open Records Act or other state law.

All records as defined are property of Allen ISD. No employee has, by virtue of his/her position, any personal or property right to such records even though he or she may have developed or compiled them. The unauthorized destruction, removal of files, or use of such records is prohibited. All school district records are presumed to be public unless there is a specific exception.

### **What is a convenience copy?**

The original record is the official record, or the most important of the document copies. Convenience copies are all the other copies. Only the original record of each record series is listed on the retention schedule with its retention period. For Allen ISD purposes, the “record” is defined as the originator of the record if it was created in-district. For external mail/documents received, the “record” is the copy received by the original addressee.

### **Other definitions:**

- Permanent record – any records for which a retention period on a records control schedule is given as permanent. These records can never be destroyed.
- Records Control Schedule – a document listing the records maintained by Allen ISD, their retention periods, and other records information that the records management program may require.
- Records management – the application of management techniques to the creation, use, maintenance, retention, preservation, and disposal of records for the purposes of reducing costs and improving the efficiency of recordkeeping.
- Retention period – the minimum time that must pass after the creation, recording, or receipt of a record, or the fulfillment of certain actions associated with a record, before it is eligible for destruction.

## **ALLEN INDEPENDENT SCHOOL DISTRICT RECORDS MANAGEMENT PROCEDURES**

The following procedures are intended to assist the district in achieving a successful Records Management Program. Federal/state laws and School Board Policies shall override any information contained in these procedures if a conflict between the two arises. School Board Policies related to Records Management include, but may not be limited to, the following:

- CPC Legal and Local – Office Management – Records Management
- FL Legal and Local – Student Records
- GBA Legal – Public Information Program – Access to Public Information
- GBAA Legal and Local – Information Access – Requests for Information
- GBAA Exhibit – Guidelines for Copy Charges

### **Retention Dates:**

It is important that the district establish a single annual date from which retention dates can be calculated. The date selected is July 1st. For example, the date for counting all records for the 2015-2016 school year would be July 1, 2016. This date is after the school and fiscal years for the prior year have ended.

### **District Responsibilities:**

- Adopt a policy to establish the district's records management program.
- Submit written notification to the TSLAC if the district intends to electronically save permanent records and subsequently destroy the paper records.
- Adopt a District Records Control Schedule, Retain all Records permanently, or adopt the TSLAC Schedules and file a Declaration of Compliance. Allen ISD has adopted the TSLAC Schedules.
- Properly destroy records in accordance with the Records Schedule in a manner prescribed by the TSLAC.
- Establish control procedures for electronic records, such as email. The content of the e-mail determines its placement in the files.
- Establish a disaster recovery plan.
- Report accidental destruction (flood, fire, etc.) of records before their expiration date(s) to the TSLAC for approval.
- Establish records of historical and audit value.
- Establish a file management system, such as record series.
- Designate a district Records Management Officer.
- Ensure that all records are covered by approved retention schedules.
- Identify "record copies" to eliminate duplication and redundancy.
- Ensure that Records access is kept to a minimum.

## **Campus/Department Responsibilities**

- Each campus and support department should designate a Site Records Manager. These managers shall have the responsibility of maintaining the local campus/department records. Site Records Managers are also responsible for organizing the contents of each box and coordinating the pick-up of boxes to be sent to the Distribution Center for storage.
- Prepare records for transport to the Distribution Center on an annual basis.
- Ensure that appropriate retention schedules are applied to records.
- Coordinate the campus/department records management program.
- Ensure that a regular, systematic file purging and rotating system is established.
- Store on-site records in a secure location so they are kept confidential. Student records must be stored and otherwise treated in accordance with the Federal Education Rights and Privacy Act (FERPA).

## **Distribution Center Records Storage**

The AISD Distribution Center shall serve as the district's records retention center. Records may also be stored with a record retention vendor as appropriate. Records for the current fiscal year as well as the preceding 2 fiscal years should be kept at the local campus/department as long as storage space is available. Prior fiscal year's records should be sent to the Distribution Center for storage until they reach their destruction date unless extenuating circumstances warrant keeping the records at the campus or department. Before records are sent to the warehouse for storage they should be separated and boxed by destruction date.

Only records which have an applied retention schedule should be sent for storage. All other documents should be removed and stored locally or purged. Care should be taken to eliminate retention of duplicate and triplicate copies of items. Examples of items which should not be sent for storage are:

- Convenience copies.
- Memos and notes of routine matters.
- Records and documentation which are the responsibility of other departments, for example, purchase records should not be sent for storage by the campus as they are the responsibility of the Purchasing Department.

Note - All special education student record storage is facilitated by the Special Education Department.

All records sent to the Distribution Center should be placed in standard size boxes (#1199) available from Distribution Center Stock catalog and clearly indicate as to:

- The sender (group or department).
- Number of boxes being sent (e.g. 1 of 4).

- The school year of the contents.
- A description of what is in the container (it is permissible to mix the contents of a container so long as all the documents have the same destruction date).
- The destruction year.
- The name of the individual and the department who sent the container for storage.
- Attach a Transfer Request Form to each box. Boxes will not be accepted without the completed form.
- Include the upper portion of the Transfer Request Form in an inner-office envelope and put it with the box(s).
- Enter a work request in SchoolDude for pick up by the Distribution Center.

Complete storage instructions and Transfer Request Forms can be found on the Distribution Center web page.

### **Annual Purging of Records:**

All campus and department records should be processed annually for continued storage at the local campus/department or for transfer to the Distribution Center.

### **Destruction of Records:**

Keeping records beyond the designated destruction period wastes space and creates additional liability for the district. All records should be destroyed in the year they are scheduled for destruction unless there are extenuating circumstances which require longer retention. Circumstances that could require retention past the scheduled destruction date include:

- Pending or reasonably anticipated litigation;
- Investigation by a federal agency or department or any bankruptcy case; or
- In the event of a public information request.

On-site records that have passed their retention or are otherwise not being sent for storage should be purged and destroyed appropriately. The methods of destruction allowed by the state include burning, shredding, pulping, or burial in a landfill or by sale or donation for recycling. Records to which public access is restricted under Chapter 552, Government Code, or other state law may only be destroyed by burning, pulping, or shredding. Records that are sold or donated for recycling purposes must be rendered unrecognizable as local government records by the recycler.

When records stored at the Distribution Center are to be disposed of, in conjunction with the approved retention periods, each applicable campus/department administrator will be notified prior to the destruction for their approval. At any time that records are subject to litigation or potential litigation they should be returned to the responsible individual or group for safe keeping.

**Notes:**

- Each year's student discipline records that don't involve suspension, expulsion or DAEP can be destroyed after the end of the school year.
- If any records on the destruction schedule are Special Education records, a notice to the public must be published in accordance with state and/or federal guidelines.

**Confidentiality**

All sensitive records should be kept in a locked file cabinet or other similar secured area. For all student folders, a list should be posted where the student folders are kept of school officials who are authorized to access the folders. Such persons shall be school officials who have a "legitimate educational interest" in a student's records when they are working with the student; considering disciplinary or academic actions, the student's case, or an individual education plan for a student with disabilities; compiling statistical data; or investigating or evaluating programs. Designate on the list the person who is responsible for maintenance of the folders.

- The contents of the folders must not be discussed with anyone who is not on the access list.
- The contents of the folders must not be discussed in a public area where unauthorized persons (students, volunteers, etc.) may hear.
- Persons who are not District employees (e.g. students, volunteers, etc.) must not be authorized to access student folders.
- All persons, including parents, who want access to student folders, copies of records in student folders, and/or to amend student records must be referred to the appropriate site administrator.
- Names of other students must be removed before including information in a student's folder.

**Records Inspection**

When the need to retrieve archived records arises, site records managers should contact the Manager of Assets and Records Retention. If the record is being stored at the Distribution Center, a time will be set for Distribution Center staff to assist in locating the requested records.

**Attachments:**

- Student Records – Retention Periods (Quick Reference Guide)
- Personnel & Payroll – Retention Periods (Quick Reference Guide)

## Student Records – Retention Periods (Quick Reference Guide)

Required	Life of Record	Comments
<b>Student Records:</b>		
Cumulative Record-Grades PK-8	Date of wd, + 5 years	
Academic Achievement Record 9-12	Permanent	
Date of Birth documentation	Admin. Valuable (AV)	
Custody Documents	Until student is 18 years	
Enrollment/registration forms	Date of wd, + 5 years	
Home language surveys	Date of wd, + 5 years	
Parental permission records-field trips	Until cessation of activity + 2 years	If an accident occurs, then extend
Withdrawal/record transfer forms	AV for sending & receiving ISDs	Exempt from destruction request
Tests (TAAS,etc), if label affixed to PRC	1 yr after affixing label	Exempt from destruction request
Tests (TAAS,etc), no label, grades 9-12	Permanent	
Tests (TAAS,etc), no label, grades PK-8	Date of wd, + 5 years	
Other tests (reading/math profiles)	Date of wd, + 5 years	
<b>Attendance:</b>		
Correspondence from parents ref abs	AV	
Correspondence w/ courts ref compulsory	2 years	
Attendance officer's logs ref home visits	2 years	
Transfers between districts	5 years	
<b>Student Health:</b>		
Accident reports	5 years or 2 years after age 18	Whichever is later
Correspondence with parents ref health issues	2 years	
Cumulative health cards	Date of wd + 2 years	
Emergency cards	Until super ceded or withdrawn	Whichever is sooner
Exclusion from participation documents	1 year, or date of wd + 2years	If a one year affidavit, exempt
Verification of mumps or measles	Date of wd + 2 years	
Verification from physician's ref testing (sight...)	Date of wd + 2 years	
Health screening documentation - worksheets	AV after entry on cum health card	
Vision, hearing and spinal screening	2 years	
Immunization records	Date of wd + 2 years	
Physician referrals and reports	AV after entry on cum health card	
Reports to law enforcement agencies	2 years	
Logs or reports of medications or treatments	3 years	



Parent requests and Dr. authorizations                      End of request period + 2 years

**Instruction:**

Grade books	1 year after entry in AAR or CR	
Grade reports - principal's report, ranking, etc.	AV	
Report cards	1 year after entry in AAR or CR	At PK-8 if no CR, Date of wd + 5

**Discipline & Counseling:**

Discipline records - regarding suspension, expulsion, DAEP	5 years	
Discipline records - not regarding expulsion	AV	
Guidance and counseling - individual files	AV, unless for sp program	

**Special Education**

Enrollment lists and rosters	5 years	
Student records	Cessation of service + 5 years	
Student records, grades 9-12	Permanent	Name, address, ID, SSN, and grades only

**Bilingual Education**

Student records	Cessation of service + 5 years	
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**Gifted & Talented**

Student records	Cessation of service + 5 years	
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Student records	Cessation of service + 5 years	
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**Dyslexia Program**

Enrollment lists and rosters	Cessation of service + 5 years	
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Student records	Cessation of service + 5 years	
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US – Until Superseded  
 WIL – Whichever is later  
 WIS – Whichever is sooner  
 AV – Administratively valuable  
 \*Separate file recommended

**DISCLAIMER NOTE: This quick reference was compiled in very general terms from the GR and SD Schedules published by the Texas State Library & Archives Commission (TSLAC). The most recent GR and SD Schedules should be used as the official reference when archiving and/or destroying records.**

## Personnel & Payroll – Retention Periods (Quick Reference Guide)

<b>Personnel/Payroll File (individual file)</b>	<b>Retention Period (State guidelines)*</b>
Employment Application	2 years from creation or receipt
Transcripts	Date of separation + 5 years
Certification - Texas Certificate	(US) or separation + 5 years
Certification – Out-of-State	Until receipt of TX certificate or date of separation + 5 years
Certification – Deficiency Plans	US by TX Certificate or date of separation + 5 years
Appraisal Records – Teachers	PERMANENT
Appraisal Records – All others	US + 2 years
Service Record	PERMANENT
Contracts	Last effective date of contract + 4 years
UIL Acknowledgement	2 years
Salary worksheets	2 years
I-9 Forms	3 years from date of hire or 1 yr after separation - WIL
Oath of Office Forms	US + 5 years
Professional Growth Plans	4 years
Audit Verification Cards	US– Last one in file-PERMANENT
Tuberculosis Certificates	AV - Destroy at Option
Teaching schedules	1 year
Criminal History*	1 year from creation or receipt
Medical records*	US + 2 years
References*	2 years from creation or receipt
Alcohol/drug testing/physicals*	2 years
FMLA requests	Fiscal Year End (FE) + 3 years
Discipline records	2 years after case closed or action taken
Grievance records*	2 years
EEOC Cases*	Resolution of case + 3 years
EEO Reports*	3 years
Unemployment Claims*	Closure of case + 5 years
Workers Compensation Claims*	Closure of case + 5 years
Employee Recognition Awards	2 years
Employee Change Documents (name, address, etc.)	2 years
Employment Advertisements*	2 years
Employment Selection Notes, Interviews*	2 years from creation or receipt

Personnel Requisition Forms	2 years
Job Descriptions	US or position abolished + 4 years
Personnel Rosters	3 years
PEIMS Staff Data	5 years
Substitute Teacher Rosters	3 years
W-4 Form	4 years after separation or 4 years after amended
Voluntary deductions & Garnishments	4 years after separation, or amended/expired - WIS
Benefits – Enrollment Forms for Life/Health	Termination of Coverage + 4 years
Enrollment forms for Pension Deferred Plans	PERMANENT
Leave Request forms	Fiscal year end, plus 5 years
Direct Deposit Authorizations	US
Enrollment, beneficiary forms, records maintained by TRS	AV – Administratively valuable
Fingerprint cards	Date of separation + 5 years
Public Access Option	US
Exit Interview forms	Date of separation + 2 years
Absence form Duty forms	4 years
Earnings & Deduction records (pay amounts)	5 years
Earnings & Deduction records (deferred comp)	Date of separation + 75 years
Time Sheets	4 years

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