

## 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), prisons operated by Department of Adult Correction (DAC), and 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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Appendix: [Records That Will Transfer to the State Records Center](#)

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. 412), 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. For example, 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.

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 (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.


These Functional Schedules apply to records in all media, unless otherwise specified. The State Archives of North Carolina recommends that agencies develop a file plan that documents the owners of record copies, internal definitions of reference value, and record formats. (A sample is available on the records management tools page at <https://archives.ncdcr.gov/government/rm-tools>.) Information about the NC Public Records Act, confidentiality, destructions, audits and litigation actions, and electronic records can be found in the overview to the functional scheduling initiative. A key for the Functional Schedule along with definitions of important records management terms can be found in the glossary to this schedule.

### 4.1 Administration of LEAs

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

*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	Disposition Instructions	Citation
411.3	<b>Attendance Lists (1 of 2)</b> School-wide headcount reports	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
411.< 	<b>Attendance Lists (2 of 2)</b> Individual classroom attendance records	RETAIN UNTIL: End of academic year THEN: Destroy	<u>Confidentiality</u> 20 USC 1232g
412.<	<b>Course Matrix</b> Includes course selection and verification reports and slips, student scheduling reports, and teacher assignments	RETAIN UNTIL: End of academic year THEN: Destroy	




\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.

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Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

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RC No.	Record Types	Disposition Instructions	Citation
413.T 	<b>Disciplinary Actions (1 of 2)</b> Records concerning student violations of academic or non-academic regulations; includes expulsion notices	TRANSFER to <a href="#">Cumulative Record</a> when issued	<u>Confidentiality</u> 20 USC 1232g
413.5 	<b>Disciplinary Actions (2 of 2)</b> 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	<b>Enrollments and Withdrawals</b> 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 	<b>FERPA Compliance</b> 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	<u>Confidentiality</u> 20 USC 1232g
416.<	<b>Field Trip Authorizations</b> 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	<b>Institutional Correspondence</b> Records concerning requests for documentation from other LEAs or educational institutions; also includes responses  SEE ALSO: Correspondence (AGENCY MANAGEMENT)	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	



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RC No.	Record Types	Disposition Instructions	Citation
418.R	<p><b>Student Associations and Organizations</b></p> <p>Includes constitutions, by-laws, newsletters, minutes, brochures, announcements, photographs, reports, scrapbooks, and other related records</p>	<p>RETAIN UNTIL: Reference value ends ±</p> <p>THEN: Destroy</p> <p>Agency Policy: _____</p>	
419.5	<p><b>Student Awards and Honors</b></p> <p>Includes recommendations, approvals, references, and other related records</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	
4110.2	<p> <b>Student Counseling and Advisement Records</b></p> <p>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</p>	<p>RETAIN UNTIL: Student graduates or separates from program</p> <p>PLUS: 2 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>20 USC 1232g</p>
4111.<	<p> <b>Student Medical Treatment Records</b></p> <p>Records concerning medical attention provided to students on campus by school officials; includes injury report forms, medication and procedures logs, and other related records</p> <p>SEE ALSO: Accident/Incident Reports (RISK MANAGEMENT)</p>	<p>RETAIN UNTIL: Student reaches age 19</p> <p>THEN: Destroy*</p>	<p><u>Confidentiality</u></p> <p>42 USC 1320d-2(d)(2)</p>

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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 scheduled under MONITORING AND COMPLIANCE for the agency that oversees the license, where the participant records on this schedule belong to the agency conducting the training. If an agency merely authorizes another entity to provide training, those records are also under MONITORING AND COMPLIANCE.*

4.2

RC No.	Record Types	Disposition Instructions	Citation
421.A	<p><b>Coursework (1 of 3)</b></p> <p>Comprehensive qualifying examinations written by occupational licensing boards</p> <p>SEE ALSO: Training Certifications (MONITORING AND COMPLIANCE)</p>	PERMANENT (archival) ∞	<i>NOTE: Abide by any confidentiality restrictions relevant to the agency</i>
421.P	<p><b>Coursework (2 of 3)</b></p> <p>Materials produced for the training of law enforcement officers</p> <p>SEE ALSO: Training Certifications (MONITORING AND COMPLIANCE)</p>	PERMANENT	<i>NOTE: Abide by any confidentiality restrictions relevant to the agency</i>
421.S	<p><b>Coursework (3 of 3)</b></p> <p>Records concerning courses offered to non-agency personnel that are necessary for professional or recreational credentialing and re-certification; includes instructional materials, assessments, and other related records</p> <p>SEE ALSO: Training Certifications (MONITORING AND COMPLIANCE)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	<i>NOTE: Abide by any confidentiality restrictions relevant to the agency</i>


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RC No.	Record Types	Disposition Instructions	Citation
<p><b>422.5</b></p> 	<p><b>Participant Information</b></p> <p>Includes applications, contact information, deliverables/assessments, effective and expiration dates of certificate/permit/ credential, continuing education units (CEUs), and other related records</p> <p>SEE ALSO: Licenses and Permits (MONITORING AND COMPLIANCE)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years <a href="#">Ω</a></p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.10</p> <p><i>NOTE: Abide by any additional confidentiality restrictions relevant to the agency</i></p>


4.2

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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	Disposition Instructions	Citation
431.S	<b>Assessments (1 of 2)</b> Assessments developed and administered by classroom teachers	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
431.P 	<b>Assessments (2 of 2) – Department of Public Instruction</b> Assessments developed and administered by the Department of Public Instruction; includes end-of-grade and end-of-course tests	PERMANENT	<u>Confidentiality</u> G.S. § 115C-174.13(a)
432.S	<b>Course Development</b> Includes proposals, outlines, syllabi, and pacing guides	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
433.P	<b>Curriculum Development – Department of Public Instruction</b> Standard Courses of Study developed by the Department of Public Instruction to define the scope and sequence of courses	PERMANENT	
434.S	<b>Lesson Plans</b> a) Lesson plans developed by individual teachers or teams b) Lesson plans licensed from vendors	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	<i>NOTE: Abide by any relevant copyright restrictions</i>

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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.*

*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.*

4.4

RC No.	Record Types	Disposition Instructions	Citation
441.P	<b>Attendance Lists</b> Lists of students attending each session	PERMANENT	
442.S	<b>Classroom Administrative Records</b> Includes proposals, outlines, syllabi, pacing guides, lesson plans, activities, and student work	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
443.2	<b>Nominations</b> 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	<b>On-Site Administrative Records</b> 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	<b>Student Records</b> 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), Department of Public Safety (DPS), or Department of Adult Correction (DAC) facility. Youth development centers operate as LEAs, so their records are subject to the below requirement for cumulative records.*



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

RC No.	Record Types	Disposition Instructions	Citation
451.2 	<b>Academic Action Authorizations</b> 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 	<b>Classroom Grades</b> 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 	<b>Cumulative Record (1 of 2)</b> 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/Retention</u> G.S. § 115C-402 <i>Goble v. Bounds</i> (13 N.C. App. 579)


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RC No.	Record Types	Disposition Instructions	Citation
453.2 	<b>Cumulative Record (2 of 2)</b> 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	<u>Confidentiality/Retention</u> G.S. § 115C-402 <i>Goble v. Bounds</i> (13 N.C. App. 579)
454.T	<b>Driver Education Program (1 of 2)</b> Driver education completion certificate	TRANSFER to <a href="#">Cumulative Record</a> when issued	
454.<	<b>Driver Education Program (2 of 2)</b> 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 	<b>Exam Reports</b> 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	<b>Graduation Lists – Department of Public Instruction</b> Annual list of high school graduates compiled by the Department of Public Instruction	PERMANENT (archival) ∞	
457.1 	<b>Parent/Guardian Contacts</b> 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

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RC No.	Record Types	Disposition Instructions	Citation
<p><b>458.5</b></p> 	<p><b>Services to Students with Disabilities</b></p> <p>Records concerning students enrolled in Department of Health and Human Services, Department of Public Instruction, or Department of Public Safety 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</p> <p><i>NOTE: Includes qualifications under Section 504 of the 1973 Rehabilitation Act and the Individuals with Disabilities Education Act (IDEA)</i></p> <p>SEE ALSO: Children’s Developmental Service Agency (CDSA) Patient Clinical Records (HEALTHCARE), Case Records (PUBLIC ASSISTANCE AND SUPPORT SERVICES)</p>	<p>RETAIN UNTIL: Student separates from program</p> <p>PLUS: 5 years</p> <p>THEN: Destroy*</p> <p><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 (34 CFR 300.573)</i></p>	<p><u>Confidentiality</u></p> <p>G.S. § 115C-402 <i>Goble v. Bounds</i> (13 N.C. App 579)</p>
<p><b>459.&lt;</b></p> 	<p><b>Student Work</b></p> <p>Work submitted by students for individual assignments and assessments</p>	<p>RETAIN SAMPLES UNTIL: End of academic year</p> <p>THEN: Destroy</p> <p><i>NOTE: Most work is returned to student after assessment</i></p>	<p><u>Confidentiality</u></p> <p>20 USC 1232g</p>
<p><b>4510.1</b></p>	<p><b>Transcript Requests</b></p> <p>Requests by students for transcripts</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	

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RC No.	Record Types	Disposition Instructions	Citation
<p><b>4511.T</b></p> 	<p><b>Transition File – Department of Adult Correction</b></p> <p>Records documenting credentials and certifications earned by individuals in Department of Adult Correction correctional facilities</p>	<p>RETAIN UNTIL: Release</p> <p>THEN: Transfer to individual</p>	<p><u>Confidentiality</u></p> <p><i>Goble v. Bounds</i> (13 N.C. App 579)</p>

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## Records That Will Transfer to the State Records Center

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.

An index or box inventory should accompany any records that transfer to the State Records Center for temporary storage or for eventual transfer to the custody of the Archives.

**421.A Comprehensive Exams:** Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Auctioneers Commission, North Carolina	Comprehensive Examination File	48729
Electrical Contractors, North Carolina State Board of Examiners of	Comprehensive Examination File	48731
Foresters, North Carolina State Board of Registration for	Comprehensive Examination File	48737
Hearing Aid Dealers and Fitters Board, North Carolina State	Comprehensive Examination File	50806
Landscape Contractors' Licensing Board, North Carolina	Comprehensive Examination File	48733
On-Site Wastewater Contractors and Inspectors Certification Board, North Carolina	Comprehensive Examination File	48735
Pastoral Counselors, North Carolina State Board of Examiners of Fee-Based Practicing	Comprehensive Examination File	48639
Pharmacy, North Carolina Board of	Practical Examinations File	3341
Podiatry Examiners, North Carolina Board of	Comprehensive Examination File	48815
Psychology Board, North Carolina	Examinations Security File	17032
Real Estate Commission, North Carolina	Examinations File	20151
Refrigeration Contractors, State Board of	Examination Questions File	48105
State Bar, North Carolina	Paralegal Certification Examinations File	47996
State Bar, North Carolina	Specialization Certification Examinations File	48003
Water Treatment Facility Operators Certification Board, North Carolina	Examination File	19730

**422.5 Participant Information:** Transfer to the State Records Center after examination results are completed. Records will be held for agency 5 additional years and then destroyed.

Agency	Series Title	Item Number
Law Examiners of the State of North Carolina, Board of	Failed Applications File	3322
Law Examiners of the State of North Carolina, Board of	Failed Examinations File	3326
Law Examiners of the State of North Carolina, Board of	Passed Examination File	3325
Law Examiners of the State of North Carolina, Board of	Withdrawn Applications File	3323

**453.P Cumulative Record:** 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
Public Safety, Department of	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
Public Instruction, Department of	N.C. High School Graduate Reports File	980