

# Eastside College Preparatory School

## Record Retention Policy

### I. GENERAL INSTRUCTIONS

#### A. Retention of Records (No litigation anticipated or pending):

Where no litigation is anticipated or pending, documents and records should be retained according to the categories specified in Section II below. Those responsible for maintaining school records and documents must follow the time frames specified in each category. The duration of retention of records will depend upon the record type and category under which it falls. Throughout this policy, whenever questions arise regarding record retention or destruction, these should be referred to the Principal.

#### B. Retention of Records (Litigation anticipated or pending):

Eastside College Preparatory School (Eastside) has an obligation to preserve all potentially relevant records and documents if a claim is made against the School, or if there is a reasonable likelihood that a claim will be made. Therefore, if such a situation exists, all potentially relevant records, including employment records, must be retained, even if doing so is in conflict with this policy. All questions about such documents must be referred to the Principal.

#### C. Seven Year Rule:

In cases where there is uncertainty about the category of a particular document, maintaining that record for three years is a prudent rule to follow. However, when there is a question about the category of a particular record, and a heightened concern about the document in regards to potential litigation, that record or document should be retained for at least seven years. All questions about the proper retention of records should be referred to the Principal. He will be responsible for determining if the documents must be retained in perpetuity, or whether they may be destroyed after seven years.

### II. CATEGORIES OF RECORDS

#### A. Documents that Relate to a Pupil Record (Current, Former or Applicant)

##### 1. Definition of Pupil Record

Pupil record refers to any item of information: which is directly related to an identifiable pupil, is maintained by the School, and is recorded by handwriting, print, tapes, film, microfilm, or other means. It does not include "informal notes" related to a pupil, which were compiled by a school administrator or employee, remain in the sole possession of the maker, and are not accessible or revealed to any other person except a substitute.

# Eastside College Preparatory School

## Record Retention Policy

### 2. Retention Period

#### **Permanent**

- Mandatory Permanent Pupil File
  - legal name of pupil
  - date of birth
  - method of verifying date of birth
  - gender of pupil
  - place of birth
  - name and address of parent
  - address of pupil if different from parent
  - annual verification of name of address of parent and pupil's residence
  - entering and leaving date of each school year
  - subjects taken each year
  - marks/credits earned toward graduation
  - verification of or exemptions from immunizations
  - date of graduation
  - accident/injury information

#### **3 years after student leaves the School**

- Mandatory Interim Pupil File
  - log of person requesting information from the record
  - health information
  - participation in special education programs
  - language training records
  - progress updates
  - parents' requests restricting access to directory information
  - parent rejoinders to challenged records and disciplinary actions
  - parent authorizations/prohibitions of pupil participation in specific programs
  - results of standardized tests administered within the last three years

#### **3 years after final admission decision made**

- Applicant Records
  - The pupil's application and any related information submitted with that application, including personal statements, grades, letters of recommendation, and assessment results and observations resultant to the application process. These include applicant records for current students, as well as for those who have not been accepted by or chose not to attend the School.
- Applicant documents identifying race, gender or national origin

# Eastside College Preparatory School

## Record Retention Policy

- Information of student applicants, including those who have not been accepted by or chose not to attend the School.
- Documents not clearly falling into one of the above categories shall be retained for three years after the pupil is no longer enrolled in the School, or for applicants who do not attend the School, three years from the date that the final decision regarding admission was made.

### **6 months after student leaves the School**

- Permitted Pupil Records
  - objective counselor, student support specialist and/or teacher ratings
  - standardized test results older than three years
  - routine discipline information
  - reports of relevant behavioral patterns
  - disciplinary notices

### **A. Financial and Employee Related Records**

#### **1 Year**

- Duplicate Deposit Slips
- Purchase Orders (other than Purchasing Department copy)
- Receiving Sheets
- Correspondence with Customers and Vendors
- Requisitions
- Stockroom Withdrawal Forms

#### **3 Years**

- Employment Applications
- Documents identifying race, gender or national origin of a job applicant
- Form I-9 (Employment Eligibility Verification)
- Employee Personnel File (after termination)
- Petty Cash Vouchers
- Expired Insurance Policies
- General Correspondence
- Internal Audit Reports
- Internal Reports
- Physical Inventory Tags
- Savings Bond Registration Records of Employees

#### **4 Years**

- Time Cards For Hourly Employees
- Payroll Ledgers and Schedules

# Eastside College Preparatory School

## Record Retention Policy

### 5 Years

- Log of occupational injuries or illnesses resulting in: medical treatment (other than first aid); loss of consciousness or restriction of work or motion; transfer or termination of employment
- Workers' compensation claims; keep 5 years from date of injury

### 7 Years

- Accounts Payable Ledgers and Schedules
- Accounts Receivable Ledgers and Schedules
- Vouchers for Payments to Vendors, Employees, etc.
- Invoices to customers
- Purchasing Department Copies of Purchase Orders
- Expense Analysis and Expense Distribution Schedules
- Auto Mileage Logs
- Travel and Entertainment Records
- Plant Cost Ledgers
- Voucher Register and Schedules
- Charitable contribution acknowledgments of \$250 or more
- Sales Records
- Notes Receivable Ledgers and Schedules
- Inventories of Products, Materials, Supplies
- Employment Tax Records
- Bank Statements and Reconciliations
- Cancelled Checks
- Cancelled Stock and Bond Certificates
- Expired Contracts and Leases
- Expired Option Records
- Subsidiary Ledgers

### 30 Years

- Medical Records of a Current or Former Employee, including:
  - Medical and employment questionnaires or histories;
  - Results of medical examinations;
  - Medical opinions, diagnosis, progress notes, recommendations;
  - First-aid records;
  - Descriptions of treatments and prescriptions;
  - Employee medical complaints.
- Medical records reflecting employees' exposure to toxic or harmful physical substances shall be retained for 30 years following the end of employment.

# Eastside College Preparatory School

## Record Retention Policy

### Permanent

- Corporate Documents (incorporation, charter, by-laws, etc.)
- Minutes and agendas of Board of Trustee meetings
- Tax-exempt IRS application
- IRS tax-exempt status determination letter
- Tax Returns and Worksheets
- Annual Financial Statements
- Audit Reports from CPA
- Chart of Accounts
- General and Private Ledgers
- Year End Trial Balances
- Depreciation Schedules
- Documents substantiating fixed asset additions
- Cancelled Checks for Important Payments (especially tax payments)
- IRS Revenue Agents Reports
- Contracts and Leases currently in effect
- Deeds, Mortgages, Bills of Sale
- Real Estate and Personal Property Appraisals by Outside Appraisers
- Property Records
- Insurance Policies
- Legal Records and Correspondence
- Retirement and Pension Policies and Records
- Trademark and Patent Registrations
- Investment Trade Documentation

## II. RESPONSIBILITY FOR EXECUTION OF POLICY

The following staff and faculty members will be responsible for executing this policy as stated above:

Director of Admissions	Student Applicant Records
Administrative Assistant	Mandatory Permanent & Interim Pupil Files, and Permitted Pupil Records
Faculty	Teacher's Informal Records
Director of Finance	Finance and Employee Records