

# PENN MANOR SCHOOL DISTRICT

ADMINISTRATIVE REGULATION

APPROVED: March 8, 2013

REVISED:

## 800-AR-1. RECORDS RETENTION SCHEDULE

### How To Use The Records Retention Schedule

The Records Retention Schedule lists records that are created, received or retained as a result of district operations. The schedule includes a description of the records, format in which the records will be retained, retention period, and disposal code. The following information will assist in applying this schedule.

### *Record Formats*

Media codes are used to identify the format(s) that the district may choose to maintain specified records and are assigned as follows:

- A. Paper
- B. Microform
- C. Electronic (machine readable)
- D. Audiovisual (tapes, movies, film strips, etc.)
- E. Cartographic (maps, drawings, blue prints, plans, etc.)
- F. Photographic

*Retention Periods*

Retention periods listed on the schedule are given in years, unless otherwise indicated. Upon expiration of the retention period, all identified records will be disposed of in accordance with Board policy and this schedule.

*Disposal Codes*

Disposal codes are used to direct the final disposition of records. Records must be disposed of according to the assigned code listed on the schedule. Assigned disposal codes are as follows:

1. Routine Handling – No special precautions are necessary upon disposal. The records should be recycled or disposed of in accordance with standard district procedures.
2. Special Handling – The destruction of records containing privileged, confidential, exempt or sensitive information that requires special handling by shredding, burning, erasing or any other method that reduces information to an illegible condition.
3. Archival Retention – Records requiring permanent retention or records that have sufficient archival or historic value must be preserved in perpetuity.
4. Delete – For use with electronic records. When electronic records have met their retention period, they will be deleted.

Records Not On Schedule

For any record not covered by the retention schedule, the Records Management Committee will determine how long the record must be kept and recommend any necessary revisions to the retention schedule.

Schedule

| <b>Record Description</b>     | <b>Record Format</b> | <b>Retention Period (in years)</b> | <b>Disposal Code</b> |
|-------------------------------|----------------------|------------------------------------|----------------------|
| <b>Administrative Records</b> |                      |                                    |                      |
| Feasibility Studies           | A,C                  | 3                                  | 1,4                  |
| PSSA Results                  | A,C                  | Permanent                          | 3                    |

## 800-AR-1. RECORDS RETENTION SCHEDULE - Pg. 3

| <b>Record Description</b>                              | <b>Record Format</b> | <b>Retention Period (in years)</b>    | <b>Disposal Code</b> |
|--|----------------------|---------------------------------------|----------------------|
| Public Record Requests                                 | A,C                  | 1 from date received <sup>i</sup>     | 1,4                  |
| School District Report Cards                           | A,C                  | Permanent                             | 3                    |
| Strategic Plan   | A,C                  | One (1) copy permanent                | 3                    |
| <b>Benefits/Insurance Records<sup>ii</sup></b>         |                      |                                       |                      |
| Claims   | A,C                  | 6 after settlement                    | 2,4                  |
| COBRA Records  | A,C                  | 6 <sup>iii</sup>                      |                      |
| Enrollment Forms                                       | A,C                  | term of benefits plus 6               | 2,4                  |
| Policies/Plans/Contracts                               | A,C                  | 6 after expiration                    | 1,4                  |
| <b>Child Labor Records</b>                             |                      |                                       |                      |
| Applications for Work Permits                          | A,C                  | 2 after graduation                    | 2,4                  |
| Employment Report from Employers                       | A,C                  | 2 <sup>iv</sup>                       | 2,4                  |
| <b>Complaints/Challenges</b>                           |                      |                                       |                      |
| Investigation Records                                  | A,C,D,E,F            | 6 after final resolution              | 2,4                  |
| Made By District Employee(s)                           | A,C                  | 6 after final resolution <sup>v</sup> | 2,4                  |
| Regarding District Employee(s)                         | A,C                  | 6 after employment ends               | 2,4                  |
| Regarding Instructional Materials or District Programs | A,C                  | 6 after final resolution              | 1,4                  |
| <b>District Organization Records</b>                   |                      |                                       |                      |
| District Boundaries/Attendance Areas                   | A,C,E                | Permanent                             | 3                    |
| Photographs/Movies of Historical Value                 | C,D,F                | Permanent                             | 3                    |
| <b>Employment Contracts</b>                            |                      |                                       |                      |
| Administrative Compensation Plan                       | A,B,C                | One (1) copy permanent                | 3                    |
| Collective Bargaining Agreements                       | A,B,C                | One (1) copy permanent                | 3                    |
| Individual Employment Contracts/Board Resolutions      | A,C                  | 4 after employment ends               | 1,4                  |
| <b>Facility Use Records</b>                            |                      |                                       |                      |
| Applications   | A,C                  | 6                                     | 1,4                  |
| Fee Schedule(s)  | A,C                  | Current                               | 1,4                  |
| <b>Financial Records<sup>vi</sup></b>                  |                      |                                       |                      |
| Accounts Payable                                       | A,C                  | 6                                     | 1,4                  |
| Accounts Receivable                                    | A,C                  | 6                                     | 1,4                  |
| Adopted Annual Budget                                  | A,B,C                | 10                                    | 1,4                  |

## 800-AR-1. RECORDS RETENTION SCHEDULE - Pg. 4

| <b>Record Description</b>   | <b>Record Format</b> | <b>Retention Period (in years)</b>      | <b>Disposal Code</b> |
|---|----------------------|---|----------------------|
| Annual Financial Reports  | A,B,C                | Permanent                               | 3                    |
| Annual Audit Reports  | A,B,C                | Permanent                               | 3                    |
| Bank Statements   | A,C                  | 6                                       | 1,4                  |
| Check Registers   | A,C                  | 6                                       | 1,4                  |
| Deposit Slips   | A,C                  | 6                                       | 1,4                  |
| General Ledger  | A,B,C                | Permanent                               | 3                    |
| Grant Records (Successful)  | A,C                  | 6 after close of grant                  | 1,4                  |
| Investment Records  | A,B,C                | 6 after cancellation                    | 1,4                  |
| Purchase Orders/Invoices  | A,C                  | 6                                       | 1,4                  |
| Tax Collection Records  | A,C                  | 6                                       | 1,4                  |
| <b>Free and Reduced Lunch Program Records<sup>vii</sup></b>                 |                      |   |                      |
| Accounts/Audits   | A,C                  | 5                                       | 1,4                  |
| Application for Participation <sup>viii</sup>                               | A,C                  | 5                                       | 2,4                  |
| Program Requirements  | A,C                  | 5                                       | 1,4                  |
| <b>Grievances/Arbitrations</b>  |                      |   |                      |
| Complaint   | A,B,C                | Permanent                               | 3                    |
| District Response   | A,B,C                | Permanent                               | 3                    |
| Final Ruling/Decision of Arbitrator   | A,B,C                | Permanent                               | 3                    |
| <b>Litigation Files</b>   |                      |   |                      |
| Pleadings, Motions, Briefs, Other Filings                                   | A,B,C                | 7 after final conclusion of litigation  | 1,4                  |
| Decision/Ruling   | A,B,C                | 7 after final conclusion of litigation  | 1,4                  |
| <b>Medical Records</b>  |                      |   |                      |
| Medical Documentation (Employee Leave, Accommodations)                      | A,C                  | 6 after employment ends                 | 2,4                  |
| Medical Records/Information (Employee)                                      | A,C,D,F              | 6 after employment ends <sup>ix</sup>   | 2,4                  |
| Medical Records/Information (Employee Exposure to Toxic/Harmful Substances) | A,C,D,F              | 30 after employment ends <sup>x</sup>   | 2,4                  |
| Medical Records/Information (Student)                                       | A,C,D,F              | 2 after enrollment ends <sup>xi</sup>   | 2,4                  |
| Pre-Employment Medical Examination <sup>xii</sup>                           | A,C                  | 6 after employment ends <sup>xiii</sup> | 2,4                  |

| <b>Record Description</b>   | <b>Record Format</b> | <b>Retention Period (in years)</b>                     | <b>Disposal Code</b> |
|---|----------------------|--|----------------------|
| <b>Payroll Records<sup>xiv</sup></b>                              |                      |  |                      |
| Deduction Authorizations  | A,C                  | 6  | 2,4                  |
| Direct Deposit Forms  | A,C                  | 6  | 2,4                  |
| Employee Earnings Statements (Pay Stubs)                          | A,C                  | 6 <sup>xv</sup>  | 2,4                  |
| Time Cards/Sheets   | A,C                  | 6 <sup>xvi</sup>                                       | 1,4                  |
| Wage and Tax Statements (W-2 Forms)                               | A,C                  | 6 <sup>xvii</sup>                                      | 2,4                  |
| Withholding Allowance Certificates (W-4 Forms)                    | A,C                  | 6 after superseded OR employment ends <sup>xviii</sup> | 2,4                  |
| <b>Personnel Records<sup>xix</sup></b>                            |                      |  |                      |
| Acknowledgement of Receipt (Handbooks/Policies)                   | A,C                  | 6 after superseded OR employment ends                  | 1,4                  |
| Advertised Job Openings/Postings                                  | A,C                  | 4 after position filled <sup>xx</sup>                  | 1,4                  |
| Attendance Records (Employees)                                    | A,C                  | 6 after employment ends                                | 1,4                  |
| Background Check Documentation <sup>xxi</sup>                     | A,C                  | 6 after employment ends                                | 2,4                  |
| Change(s) in Status (Promotion/Demotion/Transfer/Furlough/Recall) | A,C                  | 6 after employment ends <sup>xxii</sup>                | 2,4                  |
| Continuing Education/Professional Development                     | A,C                  | 6 after employment ends                                | 2,4                  |
| Credentials (Certificates/Licenses)                               | A,C                  | 6 after employment ends                                | 1,4                  |
| Discipline Records (Employees)                                    | A,C                  | 6 after employment ends                                | 2,4                  |
| Employment Application/Resume (Hired)                             | A,C                  | 6 after employment ends                                | 2,4                  |
| Employment Application/Resume (Not Hired)                         | A,C                  | 4 after position filled <sup>xxiii</sup>               | 2,4                  |
| Employment Eligibility Verification (Form I-9 and Documentation)  | A,C                  | 6 after employment ends <sup>xxiv</sup>                | 2,4                  |
| Equal Employment Opportunity Reports and Demographics             | A,C                  | 3 <sup>xxv</sup>                                       | 1,4                  |
| Evaluations (Employees)   | A,C                  | 6 after employment ends                                | 2,4                  |
| Job Description   | A,C                  | 6 after employment ends                                | 1,4                  |
| Leave Records (FMLA) <sup>xxvi</sup>                              | A,C                  | 6 after employment ends <sup>xxvii</sup>               | 2,4                  |
| Leave Records (Other)   | A,C                  | 6 after employment ends                                | 2,4                  |
| Offer of Employment (Accepted)                                    | A,C                  | 6 after employment ends                                | 1,4                  |
| Pre-Employment Reference Checks <sup>xxviii</sup>                 | A,C                  | 6 after employment ends                                | 2,4                  |

| <b>Record Description</b>                          | <b>Record Format</b> | <b>Retention Period (in years)</b>   | <b>Disposal Code</b> |
|--|----------------------|--------------------------------------|----------------------|
| Resignations                                       | A,C                  | 6 after employment ends              | 1,4                  |
| Retirement Records                                 | A,B,C                | Permanent                            | 3                    |
| Training Certificates/Information                  | A,C                  | 6 after employment ends              | 1,4                  |
| User Agreement(s)                                  | A,C                  | 6 after employment ends              | 1,4                  |
| <b>Property Records</b>                            |                      |                                      |                      |
| Building Blueprints                                | C,E                  | Permanent                            | 3                    |
| Construction Contracts                             | A,B,C                | 12 after completion <sup>xxxix</sup> | 1,4                  |
| Deeds and Related Records                          | A,B,C                | Permanent                            | 3                    |
| Equipment Inventories                              | A,C                  | 6                                    | 1,4                  |
| Fixed Asset List                                   | A,B,C                | Permanent                            | 3                    |
| Inventory Transfer/Disposal Records <sup>xxx</sup> | A,C                  | 5 after transfer/disposition         | 1,4                  |
| Leases (Real Estate)                               | A,B,C                | Permanent                            | 3                    |
| Leases (Equipment/Vehicles)                        | A,B,C                | 6 after expiration                   | 1,4                  |
| Pesticide Application Record                       | A,C                  | 3 <sup>xxxxi</sup>                   | 1,4                  |
| Real Property Purchase or Sale                     | A,B,C                | Permanent                            | 3                    |
| <b>Purchasing Records (Goods and Services)</b>     |                      |                                      |                      |
| Advertisements                                     | A,C                  | 6 after completion                   | 1,4                  |
| Bid Documents (Accepted)                           | A,C                  | 6 after completion                   | 1,4                  |
| Bid Documents (Declined)                           | A,C                  | 3 after completion                   | 1,4                  |
| Executed Contracts                                 | A,C                  | 6 after completion                   | 2,4                  |
| Financial Information of Bidders                   | A,C                  | 3 after completion                   | 2,4                  |
| Specifications                                     | A,C                  | 6 after completion                   | 1,4                  |
| Written or Telephonic Price Quotations             | A,C                  | 3 after completion <sup>xxxii</sup>  | 1,4                  |
| <b>Safety Records</b>                              |                      |                                      |                      |
| Accident Reports                                   | A,C                  | 6 <sup>xxxiii</sup>                  | 2,4                  |
| Emergency Preparedness Plan                        | A,C                  | 2 after revised <sup>xxxiv</sup>     | 1,4                  |
| Material Safety Data Sheets (MSDS)                 | A,C                  | 30 <sup>xxxv</sup>                   | 1,4                  |
| Safe School Act Reports                            | A,B,C                | Permanent <sup>xxxvi</sup>           | 3                    |
| Visitor Registration                               | A,C                  | 5                                    | 1,4                  |
| <b>School Board Records</b>                        |                      |                                      |                      |

| <b>Record Description</b>   | <b>Record Format</b>                                 | <b>Retention Period (in years)</b>  | <b>Disposal Code</b> |
|---|--|-------------------------------------|----------------------|
| Board Meeting Agendas   | A,C  | 1                                   | 1,4                  |
| Board Minutes (Approved)  | A,B,C  | Permanent <sup>xxxvii</sup>         | 3                    |
| Board Policies and Procedures (Current)   | A,B,C  | Permanent                           | 3                    |
| Board Policies and Procedures (Old)   | A,B,C  | Permanent                           | 3                    |
| Ethics Statement of Financial Interest  | A,C  | 5 <sup>xxxviii</sup>                | 1,4                  |
| Notes, Recordings and/or Any Other Materials Used to Prepare Official Minutes   | A,C,D  | Until official minutes are approved | 1,4                  |
| Official Recordings of Board Meetings   | C,D  | 1                                   | 1,4                  |
| <b>Student Records</b>  | <b>Refer to Student Records Plan<sup>xxxix</sup></b> |                                     |                      |
| <b>Transportation Records (Drug/Alcohol Testing)<sup>xi</sup></b>   |  |                                     |                      |
| Negative or Below Limit Test Results  | A,C  | 1                                   | 2,4                  |
| Positive or Above Limit Test Results  | A,C  | 5                                   | 2,4                  |
| Records Related to Collection Process   | A,C  | 2                                   | 2,4                  |
| Records Related to Education and Training   | A,C  | 2 after employment ends             | 2,4                  |
| Refusal to Take Required Test   | A,C  | 5                                   | 2,4                  |
| <b>Universal Service Records (E-Rate Program)<sup>xli</sup></b>   |  |                                     |                      |
| Applications/Discount Verifications/Correspondence  | A,C  | 5 after service year                | 2,4                  |
| Bids/Quotations (accepted/declined); Correspondence; Financial Information of Bidders; Specifications/RFPs; Bid Evaluations | A,C  | 5 after service year                | 2,4                  |
| Executed Contracts  | A,C  | 5 after service year                | 2,4                  |
| Filtering Documentation   | A,C  | 5 after service year                | 2,4                  |
| Proof of Payment – Submitted and Received   | A,C  | 5 after service year                | 2,4                  |
| Purchase Orders/Installation Records/Invoices   | A,C  | 5 after service year                | 2,4                  |
| Staff Training  | A,C  | 5 after service year                | 1,4                  |
| Technology Plan   | A,C  | 5 after service year                | 1,4                  |
| <b>Workers' Compensation Records</b>  | A,B,C  | 7 after claim closed                | 2,4                  |

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- <sup>i</sup> 65 P.S. Sec. 67.502(b)(2)(iii) requires that an electronic or paper copy of the written request and all documents submitted with the request be maintained either 1) until the request has been fulfilled; 2) if the request is denied, for thirty (30) days; or 3) if an appeal is filed, until a final determination is made or the appeal is deemed denied. Keeping from 1 year of date request received would be safe for all periods in the Act, establish some precedent for the open records officer, and give evidence of repeated requests (burdensome). 67.506(a).
- <sup>ii</sup> 29 CFR Sec. 1627.3(b)(2) requires employers to keep “benefit plans” for the term of the plan plus at least 1 year after termination.
- <sup>iii</sup> Retention period not specified in COBRA but recommended that records be retained in accordance with ERISA, See 29 U.S.C. Sec. 1027.
- <sup>iv</sup> 43 P.S. Sec. 58.1(d) requires school districts to keep the required employment report/information for 2 years.
- <sup>v</sup> 29 CFR Sec. 1602.14 and 1627.3(b)(3) require retention of relevant records until final disposition.
- <sup>vi</sup> SC 518 requires permanent retention of annual auditor’s reports and annual financial reports. SC 518 also requires districts to maintain all other financial records for at least 6 years.
- <sup>vii</sup> 7 CFR Sec. 210.9 requires free and reduced lunch accounts and records to be maintained for a minimum of 3 years. If a federal audit is being conducted, records must be kept until the audit is completed. SC 1337(e) requires free and reduced lunch accounts and records to be maintained not in excess of 5 years.
- <sup>viii</sup> 47 CFR Sec. 54.516 requires a school district who uses free/reduced-price meal applications as the basis for their federal Universal Service funding under the E-Rate program to retain these applications for 5 years.
- <sup>ix</sup> 29 CFR Sec. 1627.3 (b)(1)(v) requires the results of any physical examination to be kept for at least 1 year from the date of the personnel action which the records relate when the exam results are considered in connection with any personnel action. If an enforcement action is under way, the required records shall be maintained until final disposition.
- <sup>x</sup> 29 CFR Sec. 1910.1020(d)(1)(i) requires the retention of “employee medical records” for at least the duration of employment plus 30 years. 29 CFR Sec. 1910.1020(d)(1)(ii) requires the retention of “employee exposure records” for at least 30 years. Terms are defined in 29 CFR Sec. 1910.1020(c)(5), (6). See 29 CFR Sec. 1910.1020(b) for applicability.
- <sup>xi</sup> SC 1409 requires that all student health records be confidential and not destroyed for at least 2 years after the student is no longer enrolled. The school may surrender the health records to the parent/guardian if the student will not be enrolling in another school in Pennsylvania. 28 PA Code Sec. 23.55 requires the student’s health records be maintained in the school building that the student attends.
- <sup>xii</sup> 42 U.S.C. Sec. 12112(d)(3)(B), 29 CFR Sec. 1630.14(c)(1) requires that this information be collected on separate forms, kept in separate files and be treated as confidential medical records.
- <sup>xiii</sup> 29 CFR Sec. 1627.3 (b)(1)(v) requires the results of any physical examination to be kept for at least 1 year from the date of the personnel action which the records relate when the exam results are considered in connection with any personnel action. If an enforcement action is under way, the required records shall be maintained until final disposition.
- <sup>xiv</sup> 29 CFR Sec. 516.5, 516.6, 1620.32 and 1627.3(a) require retention of specified payroll records/information for at least 1-3 years. SC 518 requires retention of financial records for at least 6 years.
- <sup>xv</sup> 29 CFR Sec. 516.6(c)(1) requires retention of records of additions to or deductions from wages paid for at least 2 years.
- <sup>xvi</sup> 29 CFR Sec. 516.6(a)(1) requires retention of time cards/sheet for at least 2 years when used to determine pay period earnings or wages.
- <sup>xvii</sup> 26 CFR 31.6001.1(e)(2) requires the retention of tax records for at least 4 years after the due date of the tax for the return period that the records relate or the date the tax is paid, whichever is later.
- <sup>xviii</sup> 26 CFR 31.6001.1(e)(2) requires the retention of tax records for at least 4 years after the due date of the tax for the return period that the records relate or the date the tax is paid, whichever is later.
- <sup>xix</sup> 29 CFR Sec. 1602.14 requires employers to keep any personnel or employment records for at least 1 year from the date of making the record or the personnel action involved, whichever is later. If a claim is filed or action is under way, the relevant records shall be maintained until final disposition.



<sup>xx</sup> 29 CFR Sec. 1627.3 (b)(1)(vi) lists records to be kept for 1 year. If an enforcement action is under way, the required records shall be maintained until final disposition.

<sup>xxi</sup> 22 PA Code Sec. 8.2(d) states that criminal history information is confidential and not available to anyone not involved in hiring decision. 23 Pa C.S.A. Sec. 6344.2. 55 PA Code Sec. 3490.132 requires an administrator to keep the clearance statement in the employee's file.

<sup>xxii</sup> 29 CFR Sec. 1627.3 (b)(1)(i) lists records to be kept for 1 year. If an enforcement action is under way, the required records shall be maintained until final disposition. Statute of limitations under 42 U.S.C. 1981 is 4 years.

<sup>xxiii</sup> 29 CFR Sec. 1627.3 (b)(1)(i) lists records to be kept for 1 year. If an enforcement action is under way, the required records shall be maintained until final disposition. Statute of limitations under 42 U.S.C. 1981 is 4 years.

<sup>xxiv</sup> 8 U.S.C. Sec. 1324a(b)(3) and 8 CFR Sec. 274a.2(b)(2)(i)(A) requires retention for 3 years after the date of the hire or 1 year after the date the individual's employment is terminated, whichever is later.

<sup>xxv</sup> 29 CFR Sec. 1602.39, 1602.41 requires form EEO-5 and records necessary to complete EEO-5 to be maintained for 3 years. 1602.40 lists personnel records that must be kept for 2 years.

<sup>xxvi</sup> 29 CFR Sec. 825.500(g) requires medical records and documents created for FMLA purposes be maintained as confidential medical records in separate files from the usual personnel files.

<sup>xxvii</sup> 29 CFR Sec. 825.500(b) requires specified FMLA records to be kept for no less than 3 years.

<sup>xxviii</sup> 43 P.S. Sec. 1321 defines "personnel file" to exclude "letters of reference".

<sup>xxix</sup> 42 Pa. C.S.A. Sec. 5536 states that civil actions regarding construction projects must be commenced within 12 years after completion of the construction.

<sup>xxx</sup> 47 CFR Sec. 54.516 requires school districts to maintain records on equipment funded through the federal E-Rate program for Universal Service for at least 5 years from the date of the funding year's purchase; records should indicate the disposal method or document information regarding the transfer.

<sup>xxxi</sup> SC 772.2(b)(2) requires each school to maintain detailed records of all chemical pest control treatments for at least 3 years.

<sup>xxxii</sup> SC 751 and 807.1 require the retention of written price quotations and written records of telephonic price quotations for 3 years.

<sup>xxxiii</sup> 29 CFR Sec. 1904.33(a) requires the retention of the OSHA incident report forms for 5 years following the end of the calendar year that the records cover.

<sup>xxxiv</sup> 35 Pa. C.S.A. Sec. 7701(g) requires plan to be reviewed annually and updated as necessary.

<sup>xxxv</sup> 29 CFR Sec. 1910.1020(c)(5) defines "employee exposure records" to include material safety data sheets (MSDS) indicating that the material may pose a hazard to human health. See 29 CFR Sec. 1910.1020(d)(1)(ii) for exceptions and alternate records.

<sup>xxxvi</sup> SC 1317.2 (BEC) Sec. IV issued July 1 2002, SC 1307-A also requires school entities to maintain records of all applicable incidents but does not list retention period(s).

<sup>xxxvii</sup> SC 518 requires permanent retention of the "minute book" of each district.

<sup>xxxviii</sup> 65 Pa. C.S.A. Sec. 1107(9) requires the retention of financial interest statements for 5 years from date of receipt.

<sup>xxxix</sup> 22 PA Code Sec. 12.32 requires each district to develop a plan for the collection, maintenance and dissemination of student records.

<sup>xl</sup> 49 CFR 382.401 lists applicable retention periods. 49 CFR 382.405 puts limits on release of records.

<sup>xli</sup> 47 CFR Sec. 54.516 requires school districts who receive federal Universal Service funding through the E-Rate program to retain all related documentation for at least 5 years after the last day of service delivered in a particular funding year.