

# **Records Management Policy 5070/7350**

Full View

[View PDF](#)

## **1. Purpose**

The purpose of this policy is to establish guidelines for the retention, maintenance, and disposition of records at ENCSD in compliance with the North Carolina Functional Schedule for 2025, North Carolina Public Records Law ([N.C.G.S. 132](#)), Family Educational Rights and Privacy Act ([FERPA, 20 U.S.C. §1232g](#)), Health Insurance Portability and Accountability Act ([HIPAA, 45 CFR Parts 160 & 164](#)), and state cybersecurity regulations. Each department is responsible for ensuring accurate record-keeping and secure management of records in accordance with state and federal regulations.

## **2. Scope**

This policy applies to all ENCSD departments, including Academics, Administration, Nutrition, Boarding, Maintenance, Housekeeping, Business Office, Human Resources (HR), Student Health Center, School Psychologist, School Social Worker, School Speech Pathologist, ENCSD Museum, and Information Technology (IT).

## **3. General Records Management Guidelines**

- All records must be retained according to the current North Carolina Functional Schedule, specifically:
  - Student records (academic, disciplinary, health): Retained permanently or as outlined in the schedule per NC Retention Schedule.
  - Personnel records (employment history, benefits, evaluations): Retained for 30 years after separation per [N.C.G.S. 126-22](#).
  - Financial records (budgets, audits, payroll): Retained for 5-10 years, depending on document type, per [N.C.G.S. 132-3](#).
  - Facility and safety records (maintenance logs, incident reports, compliance records): Retained for 5-25 years, based on regulatory requirements.
  - General correspondence and administrative reports: Retained for 3-5 years, unless deemed historically significant.

### B. Best Practices for File Naming

- Use a consistent naming convention to improve accessibility and organization.
- Recommended format: [Department][RecordType][Date]\_[UniqueIdentifier] (e.g., HR\_EmployeeFile\_2025\_JohnDoe).
- Avoid special characters and spaces in file names; use underscores instead.
- Include version numbers if multiple versions of a document exist (e.g., \_v1, \_v2).

### *C. Emails and Personal Device Usage*

- Emails related to official school business are considered public records and must be archived per the NC Functional Schedule.
- Staff should use ENCSD-issued email accounts for all work-related communications; personal email accounts should not be used.
- Personal devices used for work (phones, tablets, laptops) may be subject to public records requests if they contain school-related communications per [N.C.G.S. 132-1](#).
- If a personal device is used, all work-related communications must be forwarded to an official ENCSD account and stored appropriately.
- Avoid texting work-related information unless absolutely necessary; if used, maintain a copy of all work-related texts in an official record-keeping system.

## **5. Electronic Filing System**

### *A. Setting Up the Electronic Filing System*

- All records will be stored in a secure cloud-based document management system with controlled access.
- Each department will have a designated folder structure aligned with retention schedules and security policies.
- Access permissions will be granted based on role-based authorization to ensure confidentiality and compliance.
- Files will be tagged with metadata, including date of creation, retention period, and department, to facilitate easy retrieval and tracking.
- Regular data backups will be performed to prevent data loss.

### *B. Organizational Hierarchy for Electronic Files*

#### **1. ENCSD Records (Root Folder)**

- 1.1 Academics

- Student Grades
- Attendance Records
- IEPs
- Curriculum Materials
- 1.2 Administration
  - Meeting Minutes
  - Policies & Procedures
  - Accreditation Reports
- 1.3 Business Office
  - Financial Reports
  - Payroll Records
  - Budget Documents
- 1.4 Human Resources
  - Employee Records
  - Evaluations & Contracts
  - Benefits & Retirement
- 1.5 Student Health Center
  - Medical Records (HIPAA Compliant)
  - Therapy & Counseling Records
- 1.6 ENCSD Museum
  - Historical Documents
  - Exhibit Records
  - Donation Records
- 1.7 Facilities & Maintenance
  - Safety Inspections
  - Incident Reports
  - Maintenance Logs
- 1.8 Information Technology (IT)
  - System Security Logs
  - Software Licenses
  - Network Infrastructure Records
  - Equipment Inventory
  - User Access and Permissions Logs

## **6. ENCSD Records Maintenance Procedure**

*To Be Conducted Every January and June*

## 1. Review of Active Records

- Each department reviews all active records and updates status (retained, archived, or scheduled for disposal).
- Ensure all records are logged in the department record log with proper tracking information.

## 2. Audit Electronic Filing System

- Verify that all digital records are properly named and filed according to ENCSD's naming conventions.
- Remove duplicate or outdated versions of documents unless retention policies require them to be kept.
- Check access permissions and update as needed for staff changes.

## 3. Physical Records Review

- Confirm that all paper records are stored in appropriate locations (secure cabinets, designated archive areas).
- Check for signs of damage, unauthorized access, or missing files.
- Label and organize records for easy retrieval.

## 4. Update Compliance Logs

- Verify and update record logs to reflect changes in document status.
- Ensure all necessary communications and transactions related to records are documented.

## 5. Prepare for Disposal or Archiving

- Identify records that have met retention schedules and are due for disposal.
- Follow secure shredding procedures for physical records.
- Digitally delete expired electronic records using secure deletion methods.
- Ensure that historically significant records are properly archived.

## 6. Training & Reminders

- Conduct a brief department meeting to remind staff of proper record management procedures.
- Address any common mistakes or issues observed during the audit.
- Provide updated guidance on compliance expectations.

## 7. Report to ENCSD Records Management Office

- Submit an updated records status report for department review.
- Address any issues with non-compliance or missing records.
- Schedule any needed follow-up training or corrective actions.

# Records Compliance Checklist

*For Departmental Use – Ensuring Compliance with ENCSD’s Records Management Policy*

## Instructions

Each department must complete this checklist to ensure their records align with ENCSD’s Records Management Policy & Procedures.

This process will help bring existing records into compliance with the current North Carolina Functional Schedule.

<b>General Compliance Tasks (All Departments)</b>	
<b>Review Functional Schedule</b>	
	Ensure all staff understand record retention, storage, and disposal guidelines
	Confirm compliance with FERPA, HIPPA, and NC Public Record Laws.
<b>Audit Physical &amp; Digital Records</b>	
	Identify and document all existing records in the department
	Verify that records are stored in designated filing systems
	Ensure confidential records are stored securely with restricted access
<b>Update &amp; Standardize Record Naming and Organization</b>	
	Rename files using ENCSD’s standard naming conventions DEPARTMENT_FileName_Year_HR_EmployeeFile_2025_JohnDoe
	Organize electronic records into the department’s designated folders
	Archive historical or inactive records as per NC Functional Schedule
<b>Verify Retention &amp; Disposal Schedules</b>	
	Cross-Check records against the retention schedule to determine what to keep, archive, or dispose
	Document records eligible for disposal and prepare them for secure shredding or deletion
	Confirm historically significant records are archived properly

## **Securely Handle Emails & Personal Devices**

	Ensure work-related emails are stored in official ENCSD accounts
	Move critical email records to designated department folders
	Inform staff that work-related content on personal devices is a public record and must be

## **Confirm Department Staff Roles & Responsibilities**

	Assign a Records Compliance Contact Person within the department
	Train staff on record maintenance best practices and compliance
	Establish a quarterly check-in process to stay compliant

## **Department Specific Tasks**

### **Academics**

	Ensure all cumulative folders are complete and in order
	Ensure all student records are stored and retained properly
	Move outdated student records to archival storage or disposal per Functional Schedule and Management policy
	Secure confidential records in compliance with FERPA

### **Administration**

	Organize meeting minutes, policies and administrative reports
	Verify retention schedules for policy updates and accreditation reports
	Archive important historical documents for institutional memory

### **Business Office**

	Verify retention of budget reports, payroll records, and financial audits
	Securely dispose of outdated financial documents
	Ensure records of purchases and transactions comply with state audit requirements

### **Human Resources**

	Ensure employee files, contracts, and benefits records follow retention policies
	Securely store confidential personnel evaluations and disciplinary actions
	Verify that separated employees' files are maintained for 30 years post-separation

## **Nutrition Services**

- Maintain meal program records and compliance reports
- Secure health and allergy-related records for students and staff
- Dispose of expired inventory and financial reports per retention guidelines

## **Boarding Program**

- Organize student housing records and incident reports
- Ensure compliance with behavior documentation and safety protocols
- Archive or securely dispose of records per retention schedules

## **Maintenance & Housekeeping**

- Review maintenance logs, safety inspections, and work orders
- Store compliance reports related to building codes and OSHA requirements
- Dispose of outdated non-essential maintenance records

## **Student Health Center, School Psychologist, Social Worker, Speech Pathologist**

- Ensure medical, counseling, and therapy records are secured per HIPAA & FERPA
- Archive older health records based on student age and retention policies
- Properly dispose of expired medical supply records and outdated reports

## **ENCSD Museum**

- Verify and catalog historical records, artifacts, and donation records
- Maintain detailed logs for exhibits and conservation reports
- Ensure proper archival storage and digitization of significant materials

## **Information Technology (IT)**

- Ensure system security logs, software licenses, and network records are retained per guidelines
- Secure access logs for user permission and IT compliance
- Review and update cybersecurity and backup procedures

## **Final Review & Reporting**

### **Department Head Review**

- Verify that all checklist items have been completed



	Any outstanding compliance issues or gaps have been addressed
<b>Submit Compliance Report</b>	
	Provide this form update to the Executive Assistant
	Schedule follow-up training or corrective actions if necessary

**Completion Date:** \_\_\_\_\_  
**Reviewed by (Department Head):** \_\_\_\_\_  
**Submitted to (Records Management Office):** \_\_\_\_\_

## Appendix

### *Definitions*

1. **North Carolina Functional Schedule** – The North Carolina Functional Schedule for Local and State Agencies is a standardized records retention and disposition schedule that outlines how long various types of records must be retained by public agencies, including schools. It replaces previous schedules that categorize records by department and instead organizes them based on function (e.g., student records, financial records, personnel records). This schedule ensures compliance with North Carolina Public Records Law (N.C.G.S. 132) and other applicable state and federal laws.

2. **North Carolina Public Records Law** ([N.C.G.S. 132](#)) – This law defines public records as all documents, emails, photographs, recordings, or other materials created or received by a public agency in the course of business. It mandates that these records be maintained, retained, and made accessible to the public unless exempted by law (e.g., FERPA for student records, HIPAA for health records). This law also dictates the proper disposal of public records, which requires authorization from the NC Department of Natural and Cultural Resources (DNCR) before destruction.

- **FERPA (Family Educational Rights and Privacy Act)** – A federal law that protects the privacy of student educational records and grants parents and eligible students’ rights regarding access to those records.
- **HIPAA (Health Insurance Portability and Accountability Act)** – A federal law that establishes standards for protecting sensitive patient health information, including records maintained by the Student Health Center.

3. **Reference Copy** – A non-official copy of a document that is kept for informational purposes only. Reference copies do not serve as the official record and should not be retained beyond their immediate use. These copies are not subject to retention requirements and can be discarded when no longer needed.

4. **Transitory Copy** – A temporary record that has short-term administrative value but does not need to be retained for legal, historical, or operational reasons. Examples include drafts, routine emails, meeting reminders, and duplicate copies. These records can be deleted or discarded when no longer needed, as they are not considered part of the agency's permanent records.

5. **Record Copy** (Official Copy) – The primary or official version of a record that must be retained according to the NC Functional Schedule. The record copy is legally required to be maintained and is subject to public records law, audit requirements, and disposal regulations. Each department is responsible for maintaining the record copy of documents within their function.

6. **Retention Schedule** – A document that specifies how long records must be kept before they can be destroyed or archived. The North Carolina Functional Schedule serves as the official retention schedule for public agencies in the state. Retention periods vary based on legal, historical, and operational needs, and records cannot be destroyed before their required retention period has expired.

7. **Transfer of Records** – The process of moving records from one storage location to another. This may include:

- Internal Transfer – Moving records between ENCSD departments for continued use.
- Archival Transfer – Sending records to the NC State Archives if they have historical significance.
- Off-Site Storage Transfer – Moving records to a secure external storage facility for retention before disposal.

8. **Archiving Records** – The process of preserving records of historical, administrative, or legal significance beyond their active use period. Archived records are permanently retained and stored in a designated archival repository, such as the NC State Archives or an ENCSD digital archive. Examples of archived records include historical student records, accreditation documents, and institutional policies.

**9. Disposal of Records** (Acceptable Methods) – The proper destruction of records that have met their retention period, in compliance with NC public records laws. Acceptable methods include:

- Physical Records:
  - Shredding – Required for confidential or personally identifiable information (PII).
  - Recycling – Allowed for non-confidential paper records.
  - Incineration – Permitted for highly sensitive documents when shredding is not feasible.
- Digital Records:
  - Secure Deletion – Using data-wiping software to permanently remove electronic records.
  - Overwriting – Replacing existing data with random information to prevent recovery.
  - Physical Destruction of Storage Media – Destroying hard drives, USBs, and CDs when necessary.

**10. Organizational Hierarchy for Electronic Files** – A structured system for organizing digital records within an electronic filing system to ensure consistency, accessibility, and compliance with the NC Functional Schedule. Best practices include:

- Root Folder: ENCSD Records
  - Subfolders by Function (not department) (e.g., Financial Records, Student Records, HR Records)
  - Subcategories by Record Type (e.g., Payroll, Budget Reports, Employee Evaluations)
  - File Naming Conventions (e.g., HR\_EmployeeFile\_2025\_JohnDoe to ensure clarity and retrieval efficiency)
- Access Controls: Restricting file permissions to authorized personnel based on role and security requirements.
- Metadata Tagging: Adding dates, retention periods, and department identifiers to facilitate record retrieval.

## **Book traversal links for 1678**

- [◀ Section 5000](#)

- [Up](#)
- [Section 7000 >](#)

[Policy](#)