

ED Records Schedule

SCHEDULE LOCATOR NO.: 162

APPROVED DATE: 03/02/2011

TITLE: Family Policy Compliance Office Complaints and Technical Assistance

PRINCIPAL OFFICE: Office of Planning, Evaluation and Policy Development (OPEPD)

NARA DISPOSITION AUTHORITY: N1-441-09-18

DESCRIPTION:

Inquiries and complaints made pursuant to the Family Educational Rights and Privacy Act (FERPA), the Protection of Pupil Rights Amendment (PPRA), and the military recruiter provisions of the No Child Left Behind Act of 2001 relating to educational agencies and institutions to which funds have been made available by the Department of Education. Records include but are not limited to the Department responses and related correspondence.

DISPOSITION INSTRUCTIONS:

a. Requests for Technical Assistance Case Files

TEMPORARY

Cut off after resolution. Destroy/delete 3 years after cutoff.

b. Complaints Case Files

TEMPORARY

Cut off annually upon completion of investigation. Destroy/delete 6 years after cutoff.

c. Complaints and Technical Assistance Tracking System (ccmMercury) Master Data Files

This system is used to track complaints as well as requests for technical assistance. A hardcopy of any correspondence related to a case file is scanned into the system for reference purposes. The system contains complainant names, addresses, and telephone numbers as well as information about the complaint or request.

TEMPORARY

Cut off annually upon completion of investigation. Destroy/delete 6 years after cutoff.

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- d. Duplicate Copies Regardless of Medium Maintained for Reference Purposes and That Do Not Serve as the Record Copy

TEMPORARY

Destroy/delete when no longer needed for reference

IMPLEMENTATION GUIDANCE:

Follow the disposition instructions in ED 086 information System Supporting Materials for system software; input/source records; output and reports; and system documentation.

ARRANGEMENT / ANNUAL ACCUMULATION:

PREVIOUS DISPOSITION AUTHORITY/CONTACT:

ED 162 a. Informal Complaints and Requests for Technical Assistance Case Files supersedes:
NC1-12-82-1/3b (ED/RDS Part 12, Item 2g.2)

ED 162 b. Formal Complaints Case Files supersedes:
NC1-12-82-1/3a (ED/RDS Part 12, Item 2g.1)

SPECIFIC LEGAL REQUIREMENTS:

Privacy Act (5 U.S.C. § 552a(c))

34 C.F.R. § 5b

Family Educational Rights and Privacy Act (20 U.S.C. § 1232g)

Protection of Pupil Rights Amendment (20 U.S.C. § 1232h)

No Child Left Behind Act of 2001, P.L. 107-110

SPECIFIC RESTRICTIONS:

Privacy Act 18-05-02 Family Educational Rights and Privacy Act (FERPA) and the Protection of Pupils Rights Amendment (PPRA) Record Systems
Family Educational Rights and Privacy Act (20 U.S.C. § 1232g)

BUSINESS LINE: Compliance