

## RECORD RETENTION GUIDELINES CHILD CARE CENTERS

The following schedule lists suggested record retention periods for some of the most common records created, received and used by child care centers that provide services to the colleges of The City University of New York. Note that these guidelines apply to records in all media, including electronic records.

Some records may be needed to defend a child care center in legal actions. Records that are identified in such actions must be retained for the entire period of the action even if their retention period has expired. **If the retention period has expired by the time the legal action ends, the record must be retained for at least one additional year** to resolve any need for the record in an appeal. If the retention period has **not** expired, the record must be retained for the remainder of the retention period, but not less than one year after the legal action ends. Prior to disposing of records related to or retained for a legal action, child care centers should consult with their counsel to verify that longer retention is not required.

For records not listed below please refer to the CUNY Records Retention Policy for guidance: [http://policy.cuny.edu/pdf\\_source/rrs.pdf](http://policy.cuny.edu/pdf_source/rrs.pdf) or <http://policy.cuny.edu/toc/rrs/>.

<p><b>Applications</b> from parent/guardian for enrollment of child in program</p> <p>a. If applicant is accepted or allowed to participate</p> <p>b. If applicant is not accepted</p>	<p>6 years after attendance or participation ends</p> <p>3 years</p>
<p><b>Children’s individual immunization and health records</b></p>	<p>3 years after child attains age 18</p>
<p><b>Parental consents</b>, including to participate in program activities and for emergency medical treatment</p>	<p>3 years after child attains age 18</p>
<p><b>Program participant records not covered by other items in this Schedule</b></p>	<p>3 years after child attains age 18</p>
<p><b>Permit to operate</b> issued by NYC Department of Health and Mental Hygiene, including applications and related materials</p>	<p>3 years after denial, renewal, or expiration</p>
<p><b>Accreditation Records</b> for program accreditation by NAEYC and other organizations responsible for accrediting child care programs, including but not limited to reports and determinations resulting from onsite visits for evaluation and the child care center’s response to deficiencies noted</p> <p>a. Significant correspondence, reports, questionnaires, self-study records and reports, guides, and related documents transmitted between a child care center and the accrediting body</p> <p>b. Routine correspondence and transmittal records, drafts of reports, and fiscal records</p>	<p>PERMANENT</p> <p>6 years after accreditation is approved or denied</p>

<p><b>Grant Program file</b></p> <ul style="list-style-type: none"> <li>a. Application, proposal, narrative, evaluation, and annual report for grants that have been awarded</li> <li>b. Background material, fiscal records, and supporting documentation for grants that have been awarded, and all records relating to grant applications that have been rejected</li> <li>c. Records relating to Universal Pre-K grants from NYC Dept of Education, including all supporting records relating to UPK services, including cost and accounting records, employee certifications and staff attendance records, payroll, personnel and expense records</li> <li>d. Monthly reports made in reference to Federal Block or other grants</li> </ul>	<p>6 years after renewal or close of grant</p> <p>6 years after renewal or close of grant or denial of application</p> <p>6 years following termination or expiration of grant agreement, or as otherwise required by the grant agreement</p> <p>6 years following termination or expiration of grant agreement, or as otherwise required by the grant agreement</p>
<p><b>Legal Agreements</b>, including contracts and leases</p>	<p>6 years after expiration or termination, or 6 years after final payment under the contract, whichever is longer</p>
<p><b>Records containing substantial evidence of policy and procedures</b></p>	<p>Permanent</p>
<p><b>Fiscal and/or Payroll records, including but not limited to banking, payment, direct deposit, and tax related records (except tax returns)</b></p>	<p>Please refer to the “Fiscal” and/or “Payroll” sections of the <u>CUNY Records Retention and Disposition Schedule</u></p>
<p><b>Personnel Records not covered by other items in this Schedule</b></p> <ul style="list-style-type: none"> <li>a. Master summary record from personnel file, including but not limited to age, dates of employment, job titles, and civil service status</li> <li>b. Personnel file materials, <b>except</b> summary information record, and including but not limited to application for employment, resume, report of personnel change, evaluation, civil service examination results, notice of resignation or termination, COBRA notices, and correspondence</li> </ul>	<p>Permanent</p> <p>6 years after termination of employment</p>
<p><b>Reports of illnesses, accidents, injuries, or other health and safety related incidents, and related records</b></p> <ul style="list-style-type: none"> <li>a. When information is also contained in individual health records files</li> <li>b. When information is <b>not</b> contained in individual health records files</li> </ul>	<p>1 year</p> <p>3 years after incident or 3 years after youngest person listed in record attains age 18, whichever is longer</p>
<p><b>Food inspection and investigation records</b>, including inspection report for preparation or serving area and food sanitation complaint investigation records</p> <ul style="list-style-type: none"> <li>a. When any significant problem is encountered</li> <li>b. When <b>no</b> significant problem is encountered</li> </ul>	<p>3 years after youngest person involved attains age 18</p> <p>3 years</p>

<p><b>Internal investigation or non-fiscal audit records</b></p> <p>a. Report and recommendation resulting from investigation</p> <p>b. Background materials and supporting documentation</p>	<p>Permanent</p> <p>6 years</p>
<p><b>Insurance case records, except</b> workers' compensation case record, including but not limited to notice of claim, copies of filed court documents, accident reports, medical reports, motor vehicle reports, appraisal report, copy of check, correspondence, and other supporting documentation</p>	<p>6 years after claim closed or 3 years after youngest person involved attains age 18, whichever is longer</p>
<p><b>Videotape or other recording maintained for security purposes</b> legal uses</p> <p>a. Containing incidents warranting retention for administrative or potential legal uses</p> <p>b. <b>Not</b> containing incidents warranting retention for administrative or potential legal uses</p>	<p>3 years after the youngest person involved attains age 18</p> <p>While needed</p>
<p><b>Program records not</b> covered by other items in this Schedule, such as those required to be maintained by NYC Health Code, Art. 47 and 18 NYCRR Section 414, including program registration records; video surveillance tapes; daily attendance records; staff health statements; Statewide Central Register clearance forms and related records; documentation of facility compliance with Uniform Fire Prevention and Building Code and other state requirements; description of program activities; health care plan; evacuation plan; program policies and guidelines; and related records</p>	<p>6 years, or 6 years after superseded or obsolete</p>

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