



Education

# RECORDS & INFORMATION MANAGEMENT IN SCHOOLS

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## SAM / SASS Presentation



# TOPICS TO COVER:

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- Records & responsibilities
- Record life cycle and life spans
- Storage of school records
- Retention and disposal authorities relevant to schools
- Destruction of temporary school records:
- Permanent school records:
  - FA060 - admission registers
  - FDA105 - historical records
- Public access to school records
- Asbestos-related records



# WHAT IS A RECORD?

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Record means any document or other source of information compiled, recorded or stored in written form, on film, by electronic process, or in any other manner or by any other means. ***State Records Act 1998 (NSW)***

## Records:

- provide evidence of business activity
- document what we do as NSW State employees
- can be in any format



Records support what you do

# RECORDS IN SCHOOLS

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- Schools are responsible for the creation, management and disposal of records relating to all aspects of school administration.
- Schools create, receive and manage records on matters such as administration, accountability, student management, curriculum, property and facilities, school heritage, finance and personnel. All such records need to be properly managed.
- All Government schools in NSW are public offices under the ***State Records Act 1998*** and are legally obliged to follow the rules developed by the act.

# YOUR RECORDKEEPING RESPONSIBILITIES

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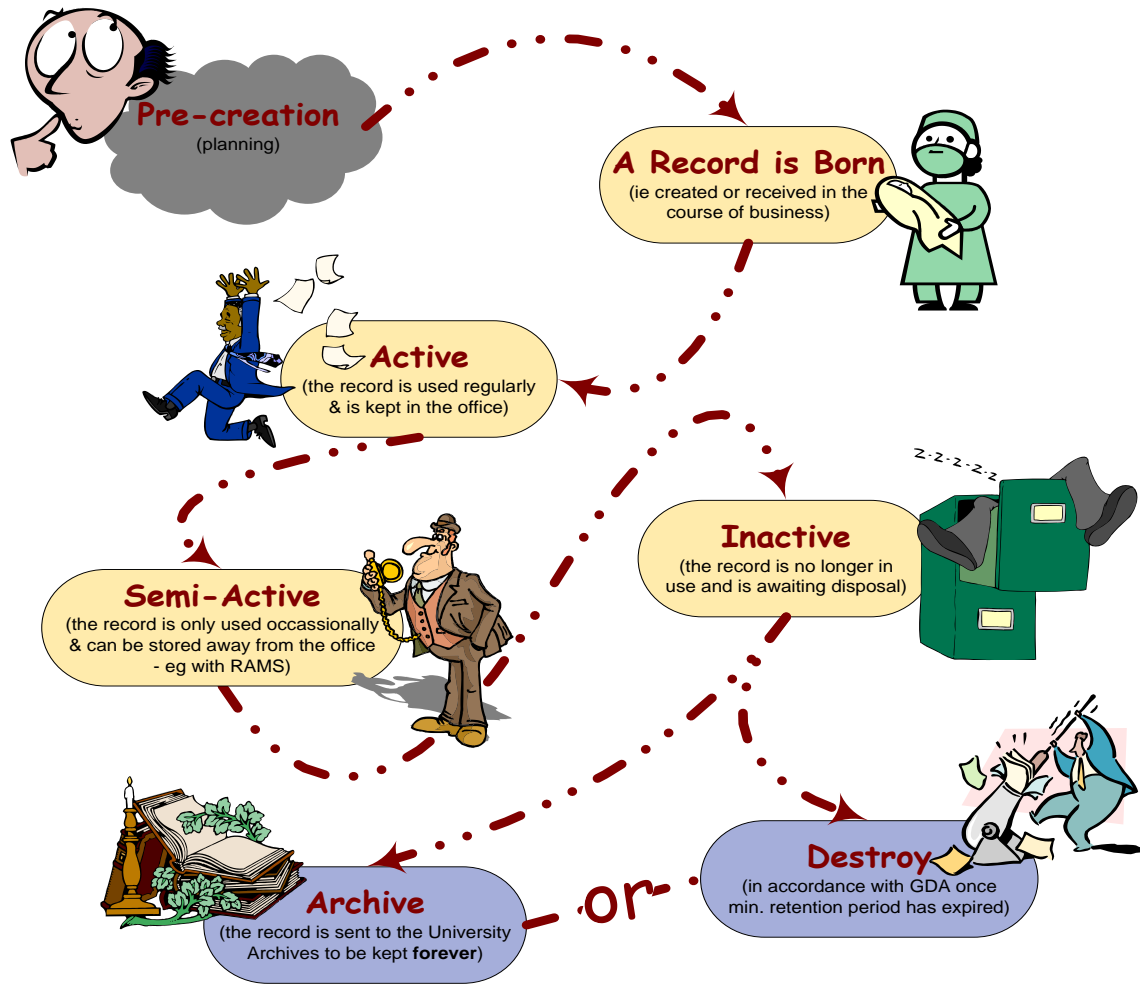
Schools need to properly keep and manage records to:

- meet legislative responsibilities
- meet administrative responsibilities to staff, students and the public
- ensure records are stored correctly and can be accessed when needed
- ensure records are destroyed when permissible.

You must not:

- destroy, delete or alter corporate records without authority
- remove corporate records without permission
- lose records that are in your care
- provide inappropriate access to restricted records.

# RECORD LIFE CYCLE



## LIFE-SPANS OF RECORDS

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All public records have life-spans that are determined by Retention and Disposal Authorities issued by State Records under the ***NSW State Records Act 1998***.

These can range from ‘destroy immediately’ to ‘keep forever’.

To find out how long a particular record needs to be kept refer to the relevant Retention and Disposal Authority (RDA).

## STORAGE OF SCHOOL RECORDS

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Records that are not in current use can be stored on school premises but please note the following:

- Records **MUST** be safe from unauthorised access.
- Records must be stored in an environment free from dangers such as water, excessive light, excessive heat, vermin and insects.
- Records should be properly boxed and labeled and a list should be created so that records can be easily located when needed.



# RECORDS SHOULD BE PROPERLY BOXED AND LABELED AND A LIST SHOULD BE CREATED SO THAT RECORDS CAN BE EASILY LOCATED WHEN NEEDED.

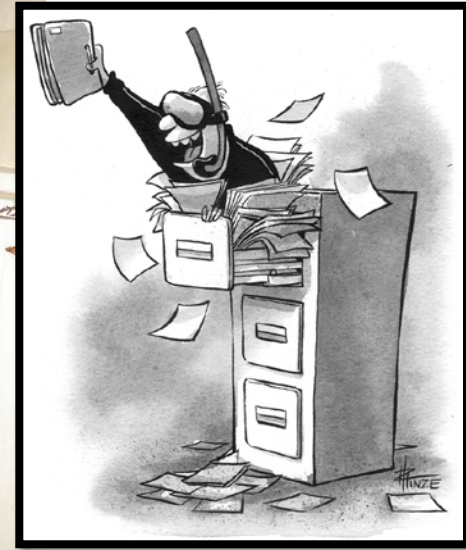
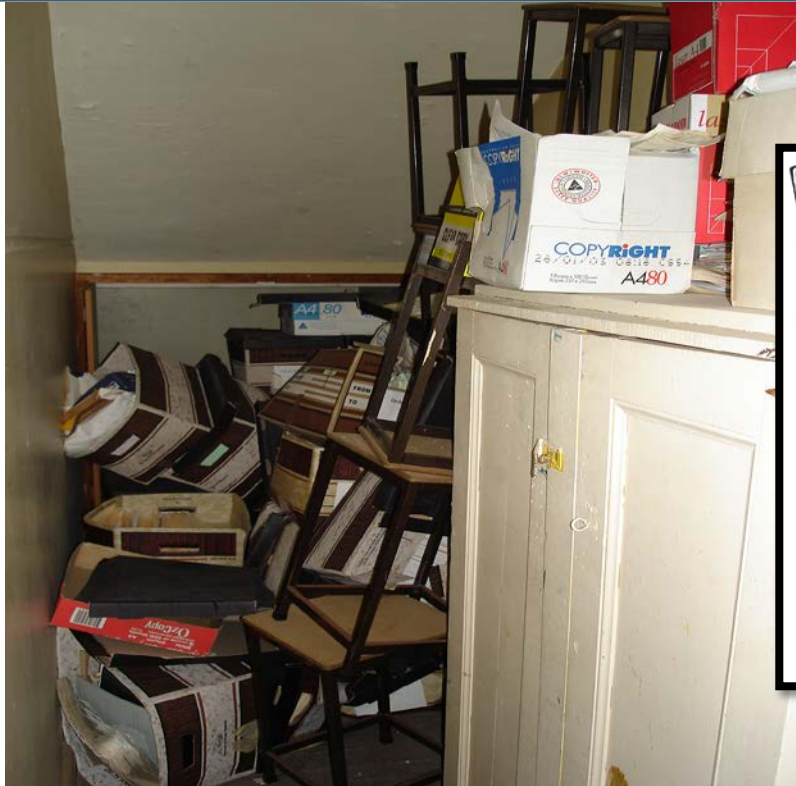


# RECORDS MUST BE STORED IN AN ENVIRONMENT FREE FROM DANGERS SUCH AS WATER, EXCESSIVE LIGHT, EXCESSIVE HEAT, VERMIN AND INSECTS

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# RECORDS MUST BE FINDABLE



# RETENTION AND DISPOSAL AUTHORITIES RELEVANT TO SCHOOLS

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All school staff who manage records should become familiar with the Retention and Disposal Authorities that are used to sentence school records.

1. **Schools Function Retention & Disposal Authority (FDA060)** which covers records specific to schools such as, but not limited to, reports, attendance rolls, enrolment records and permission notices for excursions / visits, examination and first aid registers
2. **General Administrative Records (GA28)** This GA covers records common to all NSW public offices such as, but not limited to:
  - GA28-07 Financial records and
  - GA28-15 Personnel records.
3. **Normal Administrative Practice (NAP)**

# FUNCTIONAL DISPOSAL AUTHORITY - FDA060

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## **FDA060 – School Records ( 1950+ Onwards )**

Is the main functional disposal authority which has been developed by the Department of Education for school records, and which received approval from State Records on 21 June 2000.

FDA60 applies in all schools, and as already stated the majority of the records created and kept in schools will be covered by its provisions. In practice, therefore, it is the main disposal authority which schools need to consult when deciding what to do with their records.

Some examples of school records covered by FDA60 are:

- Copies of class timetables.
- Assessment material and data - mark books, class lists, etc.
- Class rolls (i.e. official school rolls).
- Student record cards.

# GENERAL DISPOSAL AUTHORITY - GA28

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## GA28 – Administrative Records

The *General retention and disposal authority: administrative records* identifies common or general administrative records created and maintained by NSW public offices which are required as State archives and provides approval for the destruction of certain other administrative records after minimum retention periods have been met. Includes financial, accounting and personnel records.

Some examples of school records covered by GA28 are:

- Financial records.
- Personnel records.
- Capital works & building maintenance.

# NORMAL ADMINISTRATIVE PRACTICE ( NAP )

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NORMAL ADMINISTRATIVE PRACTICE ( NAP ) allows for the destruction of records when no longer needed such as:

- COPIES of records kept only for administrative purposes.
- Ephemeral records that have **no continuing value** to the organisation – needed for a limited time ( a few hours / days ).
- Facilitative records of a routine instructional nature used to further an activity and then discarded.
- COPIES of publications and circulars.

# DESTRUCTION OF TEMPORARY SCHOOL RECORDS

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Schools that regularly carry out authorised destruction of records are in a better position to manage their records holdings.

Records can only be destroyed in accordance with a NSW Retention and Disposal Authority (RDA).

It is recommended that the school maintains a destruction register that contains the following information:

- Type of Records
- Date Created & Date Closed
- Quantity
- Date of Destruction
- Method of destruction
- Disposal Authority Number
- Signature



# TEMPLATE - LIST OF RECORDS DESTROYED FOR SCHOOLS



## DEPARTMENT OF EDUCATION

School Name:

### LISTING OF RECORDS DESTROYED

Record Description	Date created	Date closed	Quantity	Date of Destruction	Disposal Authority Number

I have examined the above records and I am satisfied that as DoE has no further administrative need for them and that in accordance with the relevant Disposal Authorities they are now expired, I am authorizing their destruction.

Principal Name:  
Date:

Signed:

# DESTRUCTION OF TEMPORARY SCHOOL RECORDS

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If a school employs an external organisation to destroy their records, the school should request a “Certificate of Destruction”. This certificate should be kept on file with the listing of records destroyed.

Records destruction should be secure and irreversible, safe, and environmentally friendly. Guidelines on records destruction are available from the records management web site.



# PERMANENT SCHOOL RECORDS

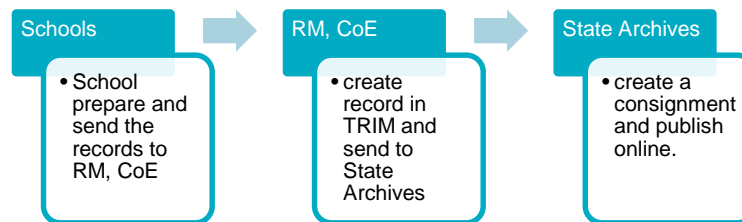
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A small proportion of school records are permanent.

This means they can not be destroyed and will eventually be transferred to NSW State Archives.

Permanent school records must stay in the school until such time as transfers to State Archives can be arranged.

Transfers of permanent records to State Archives handled by both Schools and Records Management CoE.



# PERMANENT SCHOOL RECORDS

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Only one type of school record is currently identified as a State Archive in FDA60 :

These are the **ADMISSIONS REGISTERS**

## **FDA105 (records 1800-1949)**

Historic records may also be of value, if you are not sure about any particular OLD records, contact the RM, CoE for further assistance / information .

# PERMANENT SCHOOL RECORDS – ASBESTOS RELATED

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Occasionally sentences in the official retention and disposal authorities are over-ruled and records are kept for longer periods.

This is the case with **ALL** asbestos related records.

These records are to be kept in accordance with NSW State Records Retention Schedules (FDA141 or GA28), please consult RM, CoE for further assistance.

# SCHOOL RECORDS - PUBLIC ACCESS

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The public are allowed to access their own records directly from schools but are denied access to the records of other people. For example:

Secondary schools are often approached by ex-students seeking their school reports (usually to join the armed forces). Schools should provide this information where possible.

Primary and secondary schools can be approached by those who wish to have proof of their enrolment for immigration or citizenship reasons. Schools should provide this information where possible.

**NOTE:** Information Access Unit (GIPA) can provide advice when a person's records include information on or from other people.

In some circumstances 'historical' records such as Admission Registers can be made available to researchers. Such access is granted at the Principal's discretion but the following should be taken into account:

- It is recommended that Admission Registers covering the period of the last forty years not be made publicly available.
- Some Admission Registers are very fragile and should be handled with care.
- Admission Registers must not leave the school.

# DISPOSAL DAY - PREPARATION

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- Choose a day when all staff can assist
- Locate all the records targeted for clean up before the day
- Provide gloves
- Dust masks
- Provide safety equipment
- Provide boxes
- Wear old clothes on the day

# DISPOSAL DAY – POINTS TO NOTE

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Do not forget to:

- Box records by type and date of destruction (finance, personnel etc).
- Make lists of records to be disposed of.
- Obtain written authority before destroying any records.
- Organise destruction and,
- Obtain a 'Certificate of Destruction' from the disposal company (if used).



# DISPOSAL DAY - STEPS

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- Cull records
- Appraise records
- Sort records
- Box and list records
- Obtain written authority to destroy records
- Make records of the disposal process
- Organise destruction, or
- Organise transfer to State Archives



## DISPOSAL DAY - CULLING

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Separating records on the basis of:

**Ephemeral;**

**Active;**

**Semi-Active;**

**Inactive;**

**State Archives;**

# EPHEMERAL & ACTIVE RECORDS – WHAT ARE THEY?

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## Ephemeral Records

Records which are of only **short term** value / duration / usage to the department ( only a few minutes / hours / days ).

Such Records will usually be maintained for only a very **short time** and may be disposed of when they have ceased to be of Administrative Use under the provisions of **Normal Administrative Practice ( NAP )**.

## Active Records

Records regardless of their age, which are required for current School / departmental activities.

Such records will usually be maintained on site at your School.

# SEMI-ACTIVE & INACTIVE RECORDS – WHAT ARE THEY?

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## Semi-Active Records

Records for which the **minimum retention period** has not expired but which are required so infrequently in the conduct of current activities that they may be transferred to separate ( secondary ) storage.

## Inactive Records

Records which have existed beyond the minimum retention period and are of no further administrative use.

Depending on the disposal authority these records may be either destroyed or if appropriate, transferred to State Records as permanently valuable State Archives.

# DISPOSAL DAY – APPRAISAL & SORTING

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## Appraisal

Identifying the nature / subject of the record.

Determining the appropriate disposal authority to use for that record.

Calculating the disposal date or identifying the action required (transfer to State Archives).

## Sorting

Grouping records by disposal action.

Sorting records by disposal date.

# RECORD DESTRUCTION PROCEDURE

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- ALL records are to have a disposal authority and an appropriate disposal date assigned to them.
- Listing of records to be destroyed created and written authorisation obtained from the Principal.
- List kept on file.
- Contact a destruction service to have the records shredded and pulped.
- Require the destruction service to supply a 'Certificate of Destruction' when the job is done.
- File this certificate with the destruction list in your records file.

# RECORDS MANAGEMENT WEB SITE

<https://education.nsw.gov.au/business-services/records-management>

Business services 🔒 STAFF ONLY

[Business services](#) > [Records management](#)

## Records management

Explore the department's records and information policy, guidelines and access support for HPRM.

- > [Policy, procedures and standards](#)
- > [Corporate records management](#)
- > [Equipment and stores](#)
- > [Records management for schools](#)
- > [Information classification and labelling](#)



# RECORDS MANAGEMENT SCHOOLS WEB SITE

## Records management for schools

### On this page

- > [Disposing of school records](#)
- > [Other records queries](#)
- > [Conferences and training days](#)
- > [Further contacts](#)

The records management centre of expertise (CoE) regularly receives calls from schools with records management queries. Most of these are about the retention and disposal requirements for school records.

Often they arise after records have been accumulating for some time in a school, and it is decided to have a clean-up day to make some space in the storage area.

### Disposing of school records

Records can be disposed of after they have completed their minimum retention periods (i.e. the minimum number of years the records must legally be kept for), set out by the retention and disposal authorities approved by State Records.

For school records the retention requirements are set out in three retention and disposal authorities approved by State Records:

1. **FDA60 (PDF 82 KB)** is the main one for current school records.
2. **FDA105 (PDF 69 KB)** is for historic school records
3. **CA28 (PDF 2004 KB)** is for administrative and financial records (see below first)

The **Schools Financial and Other Records document (XLS 39 KB)** sets out the recommended retention and disposal authorities for the most common administrative and financial records found in schools.

If you do not find an appropriate retention and disposal authority here then please see CA28 (above) for the full listing.

### Records management

Policy, procedures and standards

#### Records management for schools

School disposal procedures  
Example disposal scenario

Corporate records management

Information classification and labelling

Equipment and stores





# SCHOOLS FINANCIAL & OTHER RECORDS - EXAMPLE

Record Category			
Receipts	Record Description	Retention Schedule	Retention Period After End of Financial Year
OASIS / Manual	Stoppage of Cheque Payment Notices	GA28-07.01.02	07 Years
Financial Reporting			
OASIS	Rollover Reports	GA28-07.12.01	07 Years
	Annual OASIS System Backups	GA28-07.12.01	07 Years
	Back Up Registers	GA28-07.12.01	07 Years
Manual / OASIS	Annual Financial Statement	GA28-07.12.01	07 Years
	Business Activity Statement Copy and Working Papers	GA28-07.12.01	07 Years
	Statement by Supplier	GA28-07.12.01	07 Years
	Cash Books	GA28-07.12.01	07 Years
	Petty Cash Books	GA28-07.12.01	07 Years
	Bank Reconciliation Statements	GA28-07.01.02	07 Years
	Statement of Receipts and Payments	GA28-07.12.01	07 Years
	Trading and Profit and Loss Accounts for School Operated Canteens	GA28-07.12.01	07 Years
Equipment and Stores			
OASIS	Assets Register Report (Sample Report - Assets 100)	GA28-07.05.01	07 Years
	Disposed Assets Report (Sample Report - Assets 102)	GA28-07.05.01	07 Years

# RECORDS PROBLEM / QUESTIONS?

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## Contacts

- Records Management, Centre of Excellence (RM, CoE)  
EDConnect Contact Centre - 1300 32 32 32

OR

- Jade McCool  
School Policy & Information Management (SPIM)  
(02) 9266 8912  
[jade.mccool@det.nsw.edu.au](mailto:jade.mccool@det.nsw.edu.au)

# USEFUL CONTACTS

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- **Information Access Unit (previously Freedom of Information)**

The [Information Access](#) section of the Department website provides information and resources that will help Principals and school staff to make decisions about releasing information inline with the GIPA Act.

To discuss any GIPA applications contact the Information Access Unit:

Tel: 9561 8100      Email: [iaunit@det.nsw.edu.au](mailto:iaunit@det.nsw.edu.au)

- **NSW Education Standards Authority NESAs (previously BOSTES)**

(for queries from members of the public about public exam results – HSC, School Certificate, Leaving Certificate etc.)

Tel: 9367 8111      Fax: 9367 8484

Local Liaison Officer - [http://www.boardofstudies.nsw.edu.au/contacts/staff\\_boslos.html](http://www.boardofstudies.nsw.edu.au/contacts/staff_boslos.html)

# QUESTION TIME

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