



G006	Records Management Policy
Purpose	This policy describes the school's record management practices.
Authority	Evidence Act 1906 Limitation Act 1935-78 School Education Act 1999 Privacy Act 1988 Associations Incorporations Act 1987 (State) Fair Work Act 2009 The relevant Awards for employee wage records Income Tax Assessment Act 1997 Standard 10.9 Registration Standards for Non-Government Schools
National Principles for Child Safe Organisations	Principle: <ol style="list-style-type: none"> 1. Child safety and wellbeing is embedded in organisational leadership, governance and culture. 5. People working with children and young people are suitable and supported to reflect child safety and wellbeing values in practice. 6. Processes to respond to complaints and concerns are child focused.
Policy	The school will ensure that records are filed, managed, and archived to comply with legal requirements, for possible retrieval of accurate, reliable information and to benefit posterity.
Delegation	Principal
Related Policies	Enrolment of Students (PC007) Health Records Management (H004) Child Protection (CP001) Behaviour Management and Discipline (R004) Screening Staff and Volunteers (CP005) Grievance framework (HR015)
Date approved	Mar 2011, Mar 2015, May 2019, Apr 2023
Next Review Due	April 2026
Review Authority	Management
Keywords	Records; personal information; storage of records; document retention
Authorised by: Board Chairman	
Date:	
Author/Reviewer:	C Brearley – April 2023



VERSION MANAGEMENT

Version	Date Published	Changes Made	Author of Changes
4	Apr 2023	Add version management table. Add NPCSO. Add review/evaluation section, Record keeping principles for Non-Gov Schools. Update Appendix 1 from Nov 22 review. Update appendix 2. ASA Record retention & disposal schedule still current (2 nd edition). Add Appendix 3 &4.	C Brearley



General:

G006

Record Management Procedure

Day-to-day work within the school requires proper management of school records. Records of students and systems performance are imperative to inform others how the school is performing, what resources may be required and provide facts on which to base decisions. Consequently, all significant electronic and paper records are to be dealt with responsibly.

Accurate and efficient provision of information is also important in terms of staffing, teaching rooms, materials, equipment, and technologies, and to ensure their correct allocations throughout the school. It is, therefore, essential that the school has a policy for the management of all records including details on relevant legislation and procedures on the maintenance for all records.

School/Staff Responsibilities:

All permanent employees, fixed-term contractors and casual staff must comply with the legislative and business requirements of recordkeeping in order to:

- Meet legislative requirements
- Meet accountability requirements (records of decisions and actions)
- Protect the interests of students, staff, parents, the school association; and
- Meet community expectations.

Electronic records:

An electronic record is any information that is entered into a computer system, and processed, modified, stored and accessed via that system. Electronic records include word processing files, electronic spreadsheets, databases, electronic mail, internet and intranet systems, and imaged documents. This information within electronic records must be appraised in the same way as paper-based records.

All significant educational and business decisions and transactions in relation to policy, administrative and operational transactions must be documented and captured in records.

All significant records, regardless of their physical format and whether received, sent, or generated and used internally must be managed within record keeping systems.

Ephemeral Records:

Ephemeral records are those with only short-term value as they contain little or no ongoing administrative, fiscal, legal, evidential or historic value. (They are usually not placed in the school's recordkeeping system).

Records Retention & Disposal Schedule:

The schools has adopted the Records Retention and Disposal Schedule published by the Australian Society of Archivists (Appendix 1), establishing the minimum retention period for each type of record regardless of medium.

At the end of the retention period, records due for destruction are to be shredded or incinerated and electronic records erased permanently. Document destruction is only carried out after authorisation by the Principal or School Committee. Records identified for further retention, after action has been completed, can be removed to alternative storage such as off-site or off-line storage. Records identified as having archival (or permanent) value are to be stored in the school's archives.



Significant records are those which:

- Contain information, which is of administrative, legal, fiscal, evidential, or historical value and is not recorded elsewhere.
- Document formal communication and/or a transaction between staff, or between a staff member and another party; and
- Document the rationale behind policy, senior staff decisions and directives.

Examples of significant records may include:

- Notes of oral decisions and commitments.
- Decisions and recommendations.
- Drafts and versions, where applicable.
- Policies and procedures
- Precedent cases, where precedent plays a part in the decision-making process.
- Minutes of a meeting, reports or submissions.
- Notes of a meeting (both formal and informal) between a teacher and a student or letter from a principal to a parent.
- Business correspondence; and
- Formal approvals

Recordkeeping Responsibilities:

All permanent and casual members of staff have responsibilities concerning records under their control or with which they work. Members of staff are to learn, understand and apply to records the distinction between ephemeral and significant records.

In respect of significant records, all permanent employees, fixed-term contractors, and casual staff must:

- Ensure that all significant records relating to business activities that are created and/or received are included in the school's recordkeeping systems.
- Maintain the currency, integrity and accuracy of the records.
- Apply appropriate security to confidential records and/or received by them.
- Ensure that confidential records have restricted physical access and secure storage.
- Ensure that records, including electronic records, are destroyed in accordance with the appropriate approved retention and disposal schedules.
- Retain electronic records in electronic form at work sites within a records/electronic document management system.

Procedures for Filing records:

All records within the school system will be defined as either being "Active files" or "Closed Files".

Active Files contain enrolments, information, minutes, reports, submissions (any significant record) which is still in operation and being used.

Closed Files contain significant records which are no longer used in the day-to-day operation of the school. With these files the retention period for the records will be determined. The year the file is closed will be written on the top cover of the file together with the retention period. Closed files can be placed in storage.



Record Keeping Principles for Non-Government Schools:

Recommendation 8.4 of the Royal Commission into Institutional Responses to Child Sexual Abuse recommends 5 principles for records and recordkeeping relating to child safety and wellbeing, including child sexual abuse. The Department of Education has issued guidelines to assist schools meet the requirements of the 5 principles. **See Appendix 3 for Self-Evaluation guidelines.**

- **Principle 1:** Creating and keeping full and accurate records relevant to child safety and wellbeing, including child sexual abuse, is in the best interests of children and should be an integral part of institutional leadership, governance, and culture.
- **Principle 2:** Full and accurate records should be created about all incidents, responses and decisions affecting child safety and wellbeing, including child sexual abuse.
- **Principle 3:** Records relevant to child safety and wellbeing, including child sexual abuse, should be maintained appropriately.
- **Principle 4:** Records relevant to child safety and wellbeing, including child sexual abuse, should only be disposed of in accordance with law or policy.
- **Principle 5:** Individual's existing rights to access, amend or annotate records about themselves should be recognised to the fullest extent.

Ongoing Review & Evaluation of Record Keeping Practices:

The schools will review appendix 1 – Records Retention and Disposal schedule on an annual basis, checking record storage location, responsible person & disposal action is being followed.

In relation to registration standard 10.9 the schools' records of complaints, allegations, and findings related to grooming and child abuse, whether involving former or current staff or students: The school will evaluate its record keeping practices every 4 years using Appendix 4 – Self Evaluation Form; to identify areas of improvement.



Appendix 1

Record Retention and Disposal Schedule

Record Retention and Disposal Schedule saved separately. (If viewing printed file, it follows after Appendix 2)

Appendix 2

Procedures for Electronic Student Profiles

Record Retention – Student Profiles

What	When	How	Who
Enrolment form	On enrolment	Paper form held by reception. Stored in Fort Knox after graduation by year group. Information also held Electronically in Sentral.	Reception
NAPLAN results	September – for year 3, 5, 7, 9	Export class preliminary data from Valuate. Save in the “Whole Class Information” folder. Save as: NAPLAN-YR3-Year (exploring option to export direct to Sentral student records)	Deputy Principal
Standardised testing results	March – for year 2-6	Export relevant PAT reports (still to be determined)	Deputy Principal
Semester reports	July and December – all classes	Save in individual student folder, appropriate calendar year. Save as: Yr2 S1 REPORT-Student Name - 2020 (change year level, semester and calendar year as appropriate)	Reception
Individual student incidents – e.g. serious behavior concerns, serious injuries, other concerns (including abuse), suspension, expulsion	As needed	Save electronically in Sentral in Wellbeing module	Person writing the incident report – usually the teacher
School reference – written for students	As needed	Save in individual student folder, appropriate calendar year. Save as: SCHOOL REFERENCE-Student	Person writing the reference – usually the teacher



		Name-2020 (change calendar year as appropriate)	
Courses students selected	February and July	Save summary of students and courses. Save in Reception Folders by year group.	Reception
Transfers	As needed	Save copy of transfer note in Reception Folders.	Reception
Work Experience / Placements	As needed	Write a summary of where and when the student did work experience. Save in individual student folder in year of work placement. Save as: WORK PLACEMENT – Student Name - Year	Structured Workplace Learning Coordinator
Work Placement Reports	As needed	Scan and save in individual student folder. Save as WORK PLACEMENT REPORT – Student Name – Year	Structures Workplace Learning Coordinator
Participation in gifted education programs	March	Brief summary of what and when. Save in individual student folder in the relevant year. Save as: GIFTED EDUCATION PROGRAM – Student Name - Year	Gifted Education Coordinator
Participation in LAT program	March	Brief summary of what and when. Save in individual student folder in the relevant year. Save as: LAT PROGRAM – Student Name - 2020	LAT Teacher
Participation in co-curricular activities (e.g. sport, arts, Eisteddfod, volunteering)	As needed	List of students participating in event. Save in “Whole Class Information” folder. Save as: EISTEDDFOD PARTICIPATION – 2020 (change title of event and calendar year as appropriate)	Teacher coordinating co-curricular activity
School Support Officer support	As needed	Student support documents saved confidentially by student support officer.	Student Support Officer



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IEP	March and August	Save in individual student folder in the relevant year. Save as: IEP – Student Name – S1 – 2020 (change semester and calendar year as appropriate)	Learning Support Coordinator
CAP (or other documented plan)	March	Save in individual student folder in the relevant year. Save as: CAP – Student Name – 2020	Learning Support Coordinator
External reports – e.g. Psych, OT, Speech	As needed	Save in individual student folder in the relevant year. Save as – TYPE OF REPORT – Student Name - 2020	Teacher or Learning Support Coordinator or other person receiving the report
Host families	September – year 6	List of students participating in year 6 excursion and their host families (include first name and surname of host family.) Save in “Whole Class Information” folder. Save as: HOST FAMILY – Yr 6 - 2020	Year 6 teacher
Awards	December – year 10	List of students and awards. Save in “Whole Class Information” folder. Save as: GRADUATION AWARDS – 2020	Year 10 form teacher (Reception to check in February the following year)
Home Schooling Arrangements	As needed	Description of arrangements. Save in individual student folder in the relevant year. Save as HOME SCHOOLING – Student Name - 2020	Principal and Teacher concerned



Appendix 3

Recordkeeping principles for non-government schools - Guidelines

Self-Evaluation Guidelines saved as separate PDF.

Appendix 4

Recordkeeping principles for non-government schools – Self Evaluation Form

Self-Evaluation Form saved as separate word doc.