	Oakleigh Grammar
Policy Document Name	**Records and Archives Management**
Date Ratified by Board of Management	May 2021
Date for Review	February 2024

1. Rationale or Purpose

The purpose of this policy is to establish the framework needed for effective records management at Oakleigh Grammar. This policy provides guidance to employees on the creation and use of School records, including Vital Records, and sets minimum standards for classifying, managing, storing, and disposal of those records. It therefore provides a consistent framework for the management of School information.

The School has a substantial volume of records relating to its teaching, students, staff, finances and other activities. In order to efficiently conduct its business, the storage, retrieval, management and disposal of this information reserve is a significant issue.

A good record keeping program is fundamental to the School's commitment to administrative transparency and accountability. It enables the School to verify decisions and actions by providing essential evidence in the form of records and ensures the preservation of the collective memory of the School.

This policy seeks to assist staff to identify those records (extract from old Vital Records policy) and ensure that the School's business is adequately documented through the creation of records that are then managed in accordance with better practice.

2. Policy Statement

The School is committed to the responsible management of records to ensure that information is accessible and is properly captured, maintained, stored and disposed of in accordance with legislative and other external requirements.

3. Definitions

- **Appraisal:** the process of evaluating business activities to determine which records need to be captured and how long the records need to be kept, to meet business needs, the requirements of organisational accountability and community expectations.
- **Archive:** the whole body of records of continuing value of an organisation or individual. Sometimes called 'corporate memory'.
- **Archives:** those records that are appraised as having continuing value.
- **Business activity:** umbrella term covering all the functions, processes, activities and transactions of an organisation and its employees.
- **Capture:** an action which results in the registration of a record into a recordkeeping system.
- **Disposal:** a range of processes associated with implementing appraisal decisions. These include the retention, deletion or destruction of records in or from record keeping systems.

They may also include the migration or transmission of records between record keeping systems, and the transfer of custody or ownership of records.

- **Disposal Schedule:** a systematic listing of records showing those records which have permanent value and those which can be destroyed after the period specified
- **Electronic records:** records communicated and maintained by means of electronic equipment.
- **Evidence:** information that tends to prove a fact. Not limited to the legal sense of the term.
- **Information systems:** organised collections of hardware, software, supplies, policies, procedures and people, which store, process and provide access to information.
- **Non-current records:** records which are no longer required for current business but are required to be retained for the minimum period prescribed by disposal schedules.
- **Record keeping:** making and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information.
- **Record keeping systems:** information systems which capture, maintain & provide access to records over time.
- **Records:** records information in any form including data in computer systems, created or retrieved and maintained by an organisation or person in the transaction of business or the conduct of affairs and kept as evidence of such activity.
- **Vital Records:** those records that are essential for the ongoing business of the School, and without which the School could not continue to function effectively.

4. Scope
This policy is applicable to all employees and all areas of the School. It is intended to comply with relevant Victorian and Commonwealth legislation. The Policy establishes a framework for the control and management of records throughout the School from their creation to their ultimate disposal or retention as School archives.

For the purposes of this Policy, records comprise information in any format, including hard copy and electronic files, emails, data in computer systems, bound volumes, maps, plans, books, registers, forms, photographs, microfilm and microfiche. These records include original signed copies of agreements, contracts, leases and licenses, official signed copies of minutes of meetings of committees of the School, financial and personnel records, policy records, the final copy of the academic transcript of each student of the School, and other records of continuing value to the School or the community.

Staff should be aware that electronic documents have the same status as paper documents. Both electronic and paper documents are bound by the same legislative requirements and are subject to the same degree of confidentiality and care. Therefore electronic records must be managed as part of a comprehensive record keeping program [see Appendix B – Electronic Records

5. Legislative Framework and Standards
State and Commonwealth legislation and International Standards establish the conditions and standards by which the School's records and archival management will be guided.

5.1 Legislation
The School must comply with the Victoria Public Records Act 1973 and the Commonwealth Archives Act 1983. The School may also be bound by the Australian (new definition) Privacy Principles (2014) as set out in the Privacy Amendment (Private Sector) Act 2000.

5.2 Standard
The relevant International Standard on Records Management is ISO 15489. This standard has been adopted by Standards Australia and supersedes Australian Standard on Records Management AS4390.

6. Roles and Responsibilities of Record Keeping
The School and its employees must be able to account to the appropriate authorities and to the public, and to meet statutory obligations, audit requirements, relevant standards and codes of practice, and community expectations. Relevant legislative requirements are embodied in the Retention and Disposal Schedule.
(excerpt from previous Vital Records policy)

6.1 Principal
The Principal has ultimate responsibility to ensure that the School complies with the legislation and standards specified in 5.1 and 5.2 of this Policy.

6.2 The Deputy Principals, Heads of Schools and Business Manager
Senior Leaders are responsible for implementing and maintaining sound record keeping practices within their respective units. Senior leaders must ensure that records are created, maintained and stored in accordance with the standards outlined in this policy, and that no records are destroyed except as authorised by the Retention and Disposal Schedule (see Appendix A – adapted from the previous Retention and Disposal of School Records policy 2015) (no longer in existence)

6.3 Staff
Record keeping is not the province of archivists, records managers or systems administrators alone, but is an essential role of all employees. Every member of staff is responsible for making and keeping such records as may be necessary to fully and accurately record the functions, activities, transactions, operations, policies, decisions, procedures, affairs, administration and management of the School.

Staff members are to follow authorised procedures in carrying out records management functions, and must observe security, privacy and confidentiality requirements at all times. Records should be handled sensibly and with care and respect so as to avoid damage to the records and prolong their life-span. Smoking, eating and drinking should not occur near or in records storage areas.

7. Creation of Records
In accordance with section 6.3 of this policy, all staff are required to create full and accurate records which adequately document the business activities in which they take part.

Records should be full and accurate to the extent necessary to:
- Facilitate action by employees, at any level, and by their successors;
- Make possible a proper scrutiny of the conduct of businesses by anyone authorised to undertake such scrutiny;
- Protect the financial, legal and other rights of the organisation, its clients and any other people affected by its actions and decisions.
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8. Control of Records
8.1 Security
Records must be made accessible to authorised users. School staff undertaking the normal course of their duties must have access to relevant School records. Personal information about staff and students of the School must be secured within all levels of the School records.

8.2 Storage

All records, both current and non-current, must be stored in such a way that they can be accessed and retrieved upon demand. When determining appropriate storage for non-current records, due consideration must be given to the protection afforded by the storage area, sensitivity of the records, retention period and access rate.

Where possible vital records in hardcopy format should be scanned and captured within the School's Electronic Archive. The hardcopy should be stored:

    a) In conditions that are clean, with low risk of damage from fire, water, dampness, mould, insects and rodents;
    b) In conditions that are secure from unauthorised access, destruction, alteration or removal;
    c) Away from direct sunlight and other sources of heat and light;
    d) Preferably in an area that is well ventilated and maintained at stable temperature and humidity.
    e) Offsite electronic back up.

This will assist in protecting vital records from unauthorised access and / or physical harm.

Records in non-hardcopy formats may require specialised storage conditions and handling processes that take into account their specific properties. Vital records and records of continuing value, irrespective of format, require higher standards of storage and more careful maintenance and handling procedures to preserve them for as long as that value exists.

The School Management staff should discuss their requirements with the School Principal, who can provide advice on appropriate formats and storage.

A Register of Vital Records will be maintained by the School and managed in accordance with this Policy to assist in documenting and protecting the School's Vital Records. The Principal will determine which records are to be treated as Vital Records.

8.3 Agreements, Contracts, Leases, Licences

Original, signed agreements, contracts, leases and licenses are vital records of the School. They impose obligations and protect the rights of the School, and are essential for the conduct of its business.

Vital records of the School shall be registered as follows:

    a) Organisational units within the School shall register all agreements, contracts, leases and/or licenses entered into on behalf of the School in School's Electronic Archive;

The folder allocated to the document shall contain the following information:
- A unique identifier;
- The names of the parties to the document;
- A brief description of the nature of the document;
- The date of signing;
- The date of renewal / expiry of the document;
- Recurring payments / receipts due/other actions (if applicable);
- Other information required by the organisational units; and
- Date of disposal or transfer to School Archives.

The School's Legal records will also be managed in the same manner.

9. Disposal and Destruction of Records

Staff may only destroy or dispose of records in accordance with the School's Retention and Disposal Schedule

The Retention and Disposal Schedule provides a listing of routine administration, personnel, accounting, student and property records across the School. It complies with legislation in Victoria and should be accepted as the minimum retention period for records.

Where records are scheduled for destruction this should be undertaken by methods appropriate to the confidentiality status of the records. All School records approved and eligible for destruction must be destroyed under confidential conditions, unless the material is widely published. If staff are uncertain of the status of a record, it should be treated as confidential and destroyed under confidential conditions.

Confidential records should be destroyed as follows:
- Destruction of paper records via shredding or placement in security bins. They must never be placed in unsecured bins or rubbish tips.
- Destruction of magnetic media such as floppy disks must be destroyed by reformatting at least once. Deleting files from magnetic media is not sufficient to ensure the destruction of the records. Backup copies of the records must also be destroyed.
- Destruction of optical media such as rewritable disks must be destroyed by cutting, crushing or other physical means.

10. Audit and Review

All record systems may be subject to audit and review to ensure compliance with legislative requirements and with the requirement of this policy.

To accommodate changes in legislation, technologies, programs and resources available to the School this policy is to be reviewed on a triennial basis (every 3 years).

11. Responsibility for Monitoring Implementation and Compliance

As employers, the Principal and Board of Management have the direct responsibility for ensuring the policy objectives are fulfilled and that the necessary resources are provided to achieve effective implementation.

Appendix A
Retention and Disposal Schedule

1.   Retention and disposal of School records

When undertaking disposal actions the School will refer to the following Victorian Public Record Office Retention and Disposal Authorities (RDA):
- PROS 01/01 Schools General Retention and Disposal Authority; and
- PROS 07/01 General Retention & Disposal Authority for Records of Common Administrative Functions

2.   Retention and disposal of Permanent School records

Permanent records of the School are to be maintained and stored at the School or a predetermined storage facility or area. It should be noted this is not a definitive list.

Student records

Record Type	RDA Number	Comments
Summary Enrolments records	01/01	Student Registers, Pre-SAS enrolment forms, SAS enrolment database
Final report of student departing in Years 9 to 12	01/01	

Family/Student financial records

Record Type	RDA Number	Comments
Annual Financial Statement	01/01	

School Administration records

Record Type	RDA Number	Comments
Management Committee Minutes, Agenda and Correspondence	01/01	This is held by the Management Committee of the Greek Orthodox Community of Oakleigh & District Inc.
Business or strategic plans	01/01	
School policies	01/01	
Principal's diary	01/01	
Inspectors report book	01/01	
Building Files. (Major works)	01/01	
School Photographs	01/01	To be stored onsite for 5 years, then archived permanently
School magazines Includes Year Books	01/01	To be stored onsite for 5 years, then archived permanently
'Historical' records	01/01	To be stored onsite for 5 years, then archived permanently

Child Sexual Abuse Records

Records which are reasonably likely to be needed for current or future legal proceedings, including any civil or criminal proceeding or any inquiry in which evidence may be given before a court or person acting judicially such as a Royal Commission or Board of Inquiry, cannot be destroyed. Even if the minimum requirement set out in a RDA has passed.

This retention and disposal authority covers records concerning allegations and incidents of child sexual abuse. It includes reporting, inquiring and investigation of allegations, as well as the provision of support and redress to individuals.

It also includes the development, implementation and review of organisational policy and guidelines in relation to the prevention, identification, and response to child sexual abuse incidents and allegations. This includes records of this nature created through an agency's reporting, oversight or regulatory relationships with other agencies.

3.   Retention and disposal of Temporary School records

Temporary records are maintained in the school until they can be legally destroyed. Please note that this is not a definitive list

Nb Life-Span recommendations are those listed by the Victorian Department of Education (current Feb 2018)

Student records

Record Type	Life-Span	RDA Number	Comments
Enrolment records duplicated in CASES or Student Registers	2 years	01/01	Summary enrolment records such as Student Registers, Pre-SAS enrolment forms and the SAS enrolment database are permanent

Record Type	Life-Span	RDA Number	Comments
Suspension and welfare records	5 year	01/01	Destroy 5 year after departure
Expulsion Records	5years	01/01	Destroy 5 years after expulsion or ceases to be of school age, whichever is later
Camp & Excursion records (If no accident occurs)	7 years	01/01	
Accident records	20 years	01/01	
Incident records	7 years	01/01	Where incident is not reported to Emergency and Security Management or the Victorian Workcover Authority directly
Work experience records	7 years	01/01	
Prep to Year 8 reports	7 years	01/01	Destroy 7 years after departure.
Year 9 to 12 reports (excluding final report)	30 years	01/01	Destroy 30 years after departure. Final reports of student departing in years 9 to 12 are permanent
National, State and Internal standardised testing records	Destroy after data uploaded	01/01	
Student reference records	1 year	01/01	Destroy 1 year after departure. Includes samples of student work, medical information, parental information and secondary placement forms

Personnel records

Record Type	Life-Span	RDA Number	Comments
Records documenting the recruitment process	2 years	07/01 (12.14.1)	
Records of unsuccessful applications for vacancies	2 years	07/01 (12.14.2)	This sentence of 2 years applies only to school based personnel
Personnel Files	50 years	07/01 (12.5.2)	Destroy 50 years after departure
WorkCover Files	50 years	07/01 (11.5.4)	(Records on staff who die and liability rests with the school are permanent)
Records supporting the taking of leave	7 years	07/01 (12.9.2)	e.g. Leave forms
Attendance records of personnel	7 years	07/01 (12.9.3)	e.g. attendance books, time cards etc
Records documenting the management of rosters	7 years	07/01 (12.9.4)	
Professional Development attendance records	7 years	07/01 (17.7.4)	

Financial records

Record Type	Life-Span	RDA Number	Comments
Periodic financial reports	7 years	07/01 (5.6.2)	Annual financial reports are permanent

Records related to receipts and expenditure	7 years	07/01 (5.1.1)	Invoices, bank records, receipts, order forms, etc
Taxation records	5 years	07/01 (5.12.1)	
Banking records	7 years	07/01 (5.1.3)	Statements, bank books, etc
Records documenting payment of salaries	7 years	07/01 (5.11.1)	
Education Maintenance Allowance (EMA) records	7 years	07/01 (5.1.1)	

Teacher records

Record Type	Life-Span	RDA Number	Comments
Teachers Work Books	After admin use	N/A	Includes lesson plans, notes, working papers, etc. This type of record can be destroyed at any time under Normal Administrative Practice (NAP)

School Administration records

Record Type	Life-Span	RDA Number	Comments
Pecuniary interest records	7 years	01/01	Destroy 7 years after person ceases to be a member. Destroy 35 years after departure. Includes Workcover files
Operational correspondence	7 years	01/01	Includes notices to parents and inter school correspondence
Routine Correspondence	After admin use	01/01	Destroy after administrative use is concluded. Includes memos from state and regional offices, general enquiries and lists of parents' addresses, etc

4. Responsibility for Monitoring Implementation and Compliance

As employers, the Principal and School Management Committee have the direct responsibility for ensuring the guide is used for the retention and disposal of records and that the necessary resources are provided to achieve effective implementation.