

APPRAISAL REPORT:

Client Name:	Ministry of Education ("Ministry")
Contact:	Senior Adviser, National Operations
Disposal Type	Class based schedule
Agency	All state schools, including open, closed and integrated schools, Maori medium education schools, designated character schools, special schools, and The Correspondence School. Excludes private schools.
Coverage:	
Scope:	All records kept by state schools, except records held by integrated schools prior to integration, records relating to the special character of integrated schools, Maori medium education schools and designated character schools, and other records which are legally the property of the proprietor of an integrated school. Records in all formats, including paper and electronic.

1. Executive Summary

This report was developed for the Ministry, for records kept by state schools. This report and the disposal authority were developed by an independent contractor.

The types of records covered in this report are student records, records relating to the governance of a school by its board of trustees, personnel records, financial records, property and administration records, and historical records kept by a school for administrative or reference purposes.

The disposal authority used is a class based schedule working principally from the record classes which have been used for some time by the Ministry, supplemented by input from several rounds of consultation over the duration of the project, beginning in 2002. It is an ongoing authorisation and includes records that may not yet exist. The type of disposal authority and method used were selected as the most appropriate to support schools in the implementation of a simple, practicable and compliant process for records retention and disposal, as part of the transition to the new legislative framework for record keeping.

Earlier drafts of the schedule were informed by the retention and disposal schedule for records held in schools approved by Queensland State Archives in June 1996. Archives New Zealand's General Disposal Authorities classes were incorporated in the schedule where relevant. The recommendations of a draft appraisal report OP2001/66 prepared by Archives New Zealand, covering former Department of Education filmstrips distributed to schools, were updated and amended for this schedule on the advice of Archives New Zealand. The recommendations of Appraisal Report 93/234 have been distinguished. That report covered teachers' personal files inherited by the Ministry when the Department of Education and Education Boards were disestablished. There are no previous disposal authorities covering the records of state schools as agencies. The disposal criteria in the Archives New Zealand Appraisal Standard were applied.

Three classes of records in this schedule have been identified as requiring restricted access. No recommendations are made at this stage. Access issues and decisions will require to be considered and negotiated at the time of transfer.

Some older paper records may be in the form of large registers, for example, admission and withdrawal registers. Records recommended for transfer in class 6 include photographs, audiovisual records, and records held on disks, such as digital photographs. This schedule covers both paper and electronic records, therefore arrangements for electronic transfer will be required to be considered.

Of special note in this appraisal is the strong preference expressed by schools for an option to dispose of records to local repositories, for example, museums, libraries, historical societies, etc.¹

Estimated quantity recommended for retention as public archives²:

180 lm

Estimated quantity recommended for destruction (per year):

18,000 lm

¹ See further section 2 below

² Based on records of closed schools currently in storage, which could be transferred now.

2. Appraisal Circumstances

Background

In 2002 the Ministry became aware of the development of the Public Records Bill and entered into discussions with Archives New Zealand as to the ramifications of this legislation for state and state integrated schools (“schools”) throughout the country. At this time, the application of the Archives Act 1957 to schools was also clarified and confirmed by the Ministry.

The Ministry worked with Archives New Zealand staff in developing a draft retention and disposal schedule for school records. In late 2003 the documentation was circulated to a variety of schools and the local Ministry offices for their feedback. This was collated and discussed with Archives New Zealand.

In late 2004, the author was contracted to finalise the documentation for retention and disposal of school records. This encompassed further development of the formal documentation required by the Chief Archivist, and the development of a record keeping package for distribution to schools, including basic record guides.

The records retention and disposal schedule now requires approval before implementation by schools.³

Scope

Records held by integrated schools prior to integration, and other records which are legally the property of the proprietor of an integrated school, are excluded from the scope of the schedule. Private schools were first integrated into the state system in 1975 under the provisions of the Private Schools Conditional Integration Act. The extent of vesting of property and assets on integration depends upon the provisions of the integration agreement each school signed with the Crown.

Records relating to the special character of integrated schools, Maori medium education schools and designated character schools are also excluded from the scope of this schedule. Records of this nature include religious events and instruction, and aspects of hapu or iwi traditional knowledge.

Private schools (also known as independent schools) are not covered by this schedule. These schools are required to be registered under the Education Act 1989 and are subject to the teacher registration and inspection provisions of this Act (i.e. review by the Education Review Office). The Ministry may make grants to private schools under this Act, in which case the school is required to account to the Ministry for the use of these funds. However, the Ministry does not pay the salaries of teachers in private schools and is not empowered to oversee the control and management of these schools.

Transition to electronic records

The Ministry’s e-Admin programme is currently underway. This programme is developing ways of supporting and enhancing administration systems to enable schools to spend more time on teaching and learning. Key project areas affecting the records in this schedule are:

- student enrolment and data exchange (SEDEX); and
- student management systems (SMS).

The SEDEX project in effect creates a sunset period for classes 1.1 and 1.4 in this schedule (official enrolment record and admission and withdrawal registers). Once SEDEX is rolled out, the Ministry will hold the master record via data input from the schools. SEDEX does not plan to back capture records. The sunset period for these records has been incorporated into the class descriptions in the schedule. SEDEX may also mean that the number of records in class 1.2 (schools’ own enrolment forms and/or enrolment information) may diminish over time, or be incorporated into a school’s SMS.

³ The schedule is attached as Appendix 1

The SMS project is aimed at improving the quality of electronic record keeping in schools, by encouraging schools to move to accredited student management systems, and ensuring SMS data can be shared across systems, schools and agencies. The SMS and SEDEX initiatives are inter-related, in that the eventual aim of the e-Admin programme is to develop a full enrolment management system throughout the compulsory education sector, using the National Student Number (NSN), which is interoperable with accredited student management systems. The SMS project and its link to SEDEX will transition records in classes 1.3 (daily attendance registers), 1.5 (student progress records), 1.6 (punishment records) and 1.7 (records of famous or distinguished students) to electronic format over time.

The Ministry has an SMS accreditation programme, which includes periodically updated accreditation standards and SMS training. While the Ministry is encouraging schools to select accredited student management systems, and aims to have all schools using an accredited SMS by 2008, responsibility for the final decision on implementing an SMS lies with the schools. The current accreditation standards include a number of areas addressing the quality and integrity of the record, such as backup, security, migration / upgrading and audit logs of changes to student information. They do not currently include provision for retention periods and disposal of records.

A brief description of current SMS use in schools is provided in section 7.1 below.

Local disposal / transfer of records

Throughout the consultation process, and during meetings with the Sector Reference Group⁴, schools expressed a strong preference for an option to dispose of records to local repositories, for example, museums, libraries, historical societies, etc. At the least, schools wish to do this as an alternative to disposal by destruction. However they would also like this explored further in the case of records recommended for transfer to Archives New Zealand, particularly where the school is distant from an Archives New Zealand office.

It is recognised that the disposal options open to Archives New Zealand have been limited under previous legislation. However, schools would like discussions to take place regarding options available under the Public Records Act 2005.

Record keeping guidelines for schools

During the course of this project, and also as part of the consultation process in the early stages of the draft public records legislation, there has been ongoing discussion between Archives New Zealand and the Ministry regarding the level and type of record keeping guidance to be distributed to schools. There remains some uncertainty, at this stage, as to how the standard of record keeping in the new legislation will be applied to schools. The Ministry's position has always been that the legislation must be interpreted and applied in a way that reflects the differences in scale and operations between schools and government departments and agencies.

In response to an ongoing demand from schools for record keeping advice, in 2004 Archives New Zealand began developing a record keeping package for schools. The author was also briefed to develop basic record keeping guidelines for distribution to schools to accompany the issue of this schedule. After further discussion with Archives New Zealand, the Ministry guidelines have been produced in the form of a "starter pack" for schools and do not attempt at this stage to move beyond the basic record keeping requirements necessary to begin implementing the schedule.

⁴ Refer to section 4 below

3. Agency Information

Agency code

Agency name: State and state integrated schools

Year established: Education Act 1877 (state schools); Private Schools Integration Act 1975 (state integrated schools)

Year Dis-established: None – still current

3.1 Status and history

Current status of schools

As at February 2005, there are 2514 state and state integrated schools in New Zealand.

State schools encompass all those established to provide education at primary, intermediate and secondary levels. This includes schools which include a combination of these levels (composite and area schools), Maori medium education schools, special schools, and designated character schools under s156 of the Education Act 1989. State schools are established by the Crown under the Education Act 1989, and are situated on Crown land, or land leased by the Crown, except in the case of state integrated schools where the proprietor provides the school site. The board of trustees of a state school occupies the land under the terms of a Property Occupancy Document, issued under section 70 of the Education Act 1989.

Currently, there are 72 Maori medium education schools, comprised of 63 Kura Kaupapa Maori and 9 other Maori medium education schools. Kura Kaupapa Maori are established by the Crown under s155 of the Education Act 1989. Te reo Maori must be the principal language of instruction and the school is required to operate in accordance with Te Aho Matua (teaching and learning philosophy prepared and gazetted in accordance with the Education Act 1989 s155A). The 9 other Maori medium education schools are established as designated character schools under s156 of the Education Act 1989. The Secretary for Education is empowered to set a maximum roll for a Maori medium education school. The board of trustees may refuse to take students whose parents do not accept the special character of the school. In other respects, the legal standing of Maori medium education schools is the same as for any other state school.

The term “special schools” is used to refer to state schools which operate solely to provide education to students with special needs, as well as “specified institutions” in Schedule 5 of the Education Act 1989. Specified institutions include health camp schools, some residential schools and unique schools of various types, such as those that provide education to students in hospital. Apart from some differences in the makeup of the board of trustees and in enrolment periods due to the often transient nature of student attendance, special schools have the same legal standing as any other state school. Currently, there are 47 special schools in New Zealand.

Designated character schools are state schools which the Crown has established as such under s156 of the Education Act 1989. The school must have a character (expressed in its aims, purposes and objectives) that is in some specific way different from the character of ordinary state schools. The Secretary for Education is empowered to set a maximum roll for these schools. The board of trustees may refuse to take students whose parents do not accept the special character of the school. In other respects, the legal standing of the board of trustees of a designated character school is the same as for any other state school. Apart from the 9 Maori medium education schools discussed above, there are currently only 2 other designated character schools. These 2 schools teach students in non-traditional learning environments.

State integrated schools are schools established by non-government organisations, such as religious groups, who wish to maintain their religious or philosophical character (special character), but have been integrated into the state system and obtain funding from the Crown in a similar way as a state school. They are integrated into the state system under the Private Schools Conditional Integration Act 1975. The provision of property for a state integrated school is primarily the responsibility of the “proprietor” (for example, a board of proprietors, bishop or church board, etc). The proprietor of an integrated school has the right to participate in the governance of the school through the appointment of representatives to the board of trustees. Currently there are 325 state integrated schools.

The Correspondence School was established in 1922. It is currently designated as a correspondence school under s152 of the Education Act 1989. Apart from the bulk funding of teacher provision, The Correspondence School is funded in the same way as other state schools. Under the Education Act 1989, the Minister may fix criteria for enrolment at The Correspondence School, and the Secretary for Education may require certain children to be enrolled at the school. In other respects, the legal standing of the board of trustees of The Correspondence School is the same as for any other state school.

History

A brief history, together with references, is attached.⁵ The information provided focuses on the history of the control structure relating to schools, in particular where it may have a bearing on the records created by schools during the 19th and 20th centuries, prior to the current education administration structure introduced by the Education Act 1989.

3.2 Control, management and administration

The reforms of 1989 created a board of trustees to govern each school. Boards of trustees differ from the previous regime of school committees and school boards in the following ways:

- they are democratically elected primarily by the parents of students and normally run one school (though there are sometimes combined boards of trustees running more than one school); and
- they are the employer of all staff in a school and are free to appoint and dismiss staff as they see fit within the law; and
- while they are funded by the Ministry, they have wide powers to control the finances and expenditure of the school; and
- the principal of each school is both an employee of the board of trustees and a trustee with full voting rights.

A typical board of trustees consists of 5 parent representatives elected by the parent community, 1 staff representative voted for by all staff, and the principal. In schools that have students in year 10 or above, the students (years 9-13) can vote for a student trustee who has all the powers and responsibilities of the other trustees.

A board of trustees is constituted as a body corporate under the 6th schedule of the Education Act 1989. Boards of trustees are defined as “Crown entities” for the purposes of the Public Finance Act 1989, which makes them subject to public audit requirements. They are also subject to reviews by the Education Review Office under the Education Act 1989. Part 7 of the Local Government Official Information and Meetings Act 1987 requires boards of trustees to follow essentially the same meeting procedures as for local authorities, including making agendas and minutes available for public inspection.

As the governing bodies of schools, boards of trustees are given very broad powers and responsibilities under the Education Act 1989. These include:

- holding real and personal property; and
- suing and being sued; and
- entering into contracts; and
- employing all staff (teaching and non-teaching); and

⁵ This has not been included in the website publication but is available from the Appraisal Manager, Archives New Zealand by quoting the Appraisal ID and Appendix 3.

- controlling school finances and expenditure.

However, boards of trustees are required to operate within a regulatory framework, monitored through the Ministry and audit functions: Key control aspects include:

- charters and annual reports; and
- constitutions, meetings and elections procedures; and
- annual funding (grants); and
- limitations on borrowing, investing and dealing with property; and
- mandatory use of payroll service; and
- annual audits by the Office of the Auditor General

The Minister has the power to issue instructions and/or guidelines to boards of trustees, including those relating to:

- national education and administration; and
- enrolment and attendance; and
- length of school year, terms, holidays, emergencies; and
- terms and conditions applying to land and buildings.

In addition, the Ministry is responsible for:

- paying the salaries of regular teaching staff; and
- managing the process of closing or merging schools; and
- managing interventions in the case of non-performing schools.⁶

4. Methodology

The type of disposal authority used is a schedule based on class. The classes are closely based on the record classes which have been used for some time by the Ministry in the listing, boxing and storage of the records of closed schools. It is an ongoing authorisation and includes records which may not yet exist.

A combination of methods was used to appraise the records. Site visits were made to a primary school and a secondary school, which involved interviewing staff responsible for the records, viewing and selective sampling of the records, including the archives of the secondary school. A site visit was also made to the Lower Hutt office of the Ministry, at which the records of a closed primary school were examined. A listing of the inactive records of a merged intermediate school was also examined during this visit.

This disposal authority has been subjected to an extensive, inclusive and lengthy consultation process. Consultation and feedback on drafts of the schedule from schools and the National and Auckland offices of Archives New Zealand was obtained by the Ministry in 2003-4. Further consultation with schools and school organisations took place in 2004-5 via a Sector Reference Group⁷, which met to refine and clarify the content of the draft schedule and record keeping guidelines to be issued to schools. This group included representatives from all the official groups representing the schools sector.

The type of disposal authority was selected as the most appropriate tool to support schools in the implementation of a simple, practicable and compliant process for records retention and disposal, as part of the transition to the new legislative framework for record keeping.

Schools are not complex organisations, and their record classes are largely homogenous. However, the range of records falling within these classes will vary reasonably widely from school to school. The homogenous nature of school records is discussed further in section 7 of this report. The combination of methods used to appraise the records was selected as the most appropriate and practicable to ensure the range of records within the classes were clearly described and examples included.

⁶ The power to close and/or merge schools lies with the Minister of Education. Interventions are initiated in some cases by the Secretary for Education, in some cases by the Minister of Education.

⁷ Details of the makeup of this group are attached as Appendix 4

Archives New Zealand's General Disposal Authorities classes were incorporated in the schedule where relevant. The General Disposal Authorities are focused on the operations and activities of government departments and agencies. These needed to be adapted and scaled down to the smaller, less complex schools environment. To appraise their value in some cases, the schools' records needed to be placed in the context of records held by the Ministry. For example, some school policies and procedures are developed within the National Education and Administration Guidelines (NEGs and NAGs) issued by the Minister, and are therefore tightly controlled in terms of their content. Others are a matter for each school, therefore their content will vary from school to school.

The main differences between this schedule and the General Disposal Authorities are:

- The following records are recommended for destruction
 - the personnel records of principals; and
 - the annual audit reports of boards of trustees; and
 - loan documents.
- "Major plant" is omitted from the examples of major capital assets
- Policies and procedures are differentiated in terms of the level of Ministry control over their content, as well as the content itself. This is discussed further in section 8.2 of this Report.

The personnel files of principals are not of sufficient accountability, evidential or informational value to be retained as a class. A school principal is in a different position from a CEO of a government department. Board of Trustee minutes will represent a sufficient record of the management of the school and interactions with the principal.

School accounts are externally audited yearly, however these are, for the most part routine, low level audits which do not represent sufficient accountability or evidential value to outweigh their volume and the consequent costs of keeping them.

Loans and funding records for schools are not "major" when compared to a government department. Schools must obtain approval from the Ministry for loans above a specified proportion of their operations grant, and the records of these approvals are held by the Ministry.

"Major plant" in the context of a school does not involve the kind of major capital expenditure envisaged by the General Disposal Authorities.

5. Relevant Precedent

Earlier drafts of the schedule were informed by the retention and disposal schedule for records held in schools approved by Queensland State Archives in June 1996. The retention and disposal recommendations in the schedule are largely in accordance with those in the Queensland schedule. The major differences are as follows:

- Accident reports, corporate plan, audit reports, major capital works, photographs, newsletters, magazines and special events documentation, which are all recommended for destruction in the Queensland schedule, are recommended for retention here in accordance with the guidelines in Archives New Zealand's General Disposal Authorities.

In 1995, a large number of teachers' personal files were inherited by the Ministry when the Department of Education and Education Boards were disestablished. These records were appraised by Archives New Zealand in Appraisal Report 93/234. These records were finite, i.e. no further records were added to files, nor were any new files created. Henceforth, creating and keeping teachers' personal records became the responsibility of the Board of Trustees of each school. Appraisal report 93/234 covered these inherited records only, and did not operate as an ongoing schedule for teachers' personal records. It referred to the limited use of these records made by the Teacher Registration Board to confirm that an applicant for registration had satisfactorily completed training, where other documentation was unavailable. It recommended that all personal files were retained for 65 years from the year of birth, but that only a small sample of teachers' personal files were transferred to Archives New Zealand after this period, along with files relating to specified prominent individuals. The 65 year retention period appears to have been a continuation of past practices, where the Department and Boards were responsible for teachers' personal

files throughout their career until retirement.

This report also recommends that personnel records of prominent staff and principals are retained as public archives, but does not recommend the retention of any other personnel records. It also recommends that the retention period for personnel records is brought into line with those of other public sector employees.

This precedent can be distinguished from the current situation for the following reasons:

- Teachers' personal records are now the responsibility of individual Boards of Trustees, not the Ministry.
- Archives New Zealand concluded that a small sampling of these records was of general, but limited, historical value as a source of showing attitudes and practices in education. This information will now be able to be obtained from board of trustee minutes and significant correspondence, both of which are recommended in this report for retention as public archives. Moreover, the information from these sources is likely to be more detailed than that which would have been obtained from a sampling of teachers' personal files.
- To ensure decisions under the earlier schedule could be practically implemented, Archives New Zealand considered it important that files for retention could be identified solely from the lists available, and the need for detailed file by file inspection for selection was to be avoided. The current situation involves an ongoing schedule and not a finite list of files. The records would be dispersed among all schools in New Zealand with their arrangement varying from school to school. This would make implementation of a useful sampling approach impracticable.
- Archives New Zealand stated that one of the purposes of the sampling approach was to obtain a sampling by Board and region. To obtain such a cross section of records in today's context would require the development and administration of a complex process of school selection.
- Any access regime would now be required to be administered by individual schools, which would create an administrative burden outweighing the limited informational value of these records, and is likely to be impracticable for both the schools and Archives New Zealand to implement.
- The Teachers Council (the successor to the Teachers Registration Board) has been consulted and has stated that it does not look to schools for information about teachers' length of service or qualifications. While it might be useful to look to a teachers' personnel record to find evidence in the case of a complaint about that teacher, it would not expect schools to keep personnel records indefinitely, solely for this purpose. If a complaint were raised during the recommended retention period for personnel files, the school would in any case be required to retain the relevant record until the complaint was resolved. This report recommends that complaints and all other matters relating to the legal rights and interests of principals, staff, students and parents are retained as public archives as part of Board of Trustee minutes and/or significant correspondence. This is considered sufficient record of these matters.
- In Archives New Zealand's General Disposal Authority GDA/1 relating to human resources and personnel records, a 7 year retention period is recommended. There are no regulatory or administrative reasons for teachers to be distinguished from other employees of public offices.

Archives New Zealand advised that their recommendations in a draft appraisal report OP2001/66, covering former Department of Education filmstrips distributed to schools, no longer applied, as Archives New Zealand now holds a full set of filmstrips with New Zealand content. Schools could now destroy these.

Previous Disposal Authorities: Nil (previous authorities relate to the Ministry of Education's records)

6. Disposal Criteria

Recommendations on the retention and disposal of records were made after applying the set of disposal criteria in the Archives New Zealand Appraisal Standard. Further details are provided in the class information in section 8 below.

7. Series Information

The information in this section describes examples of records currently held by schools. It is based on the records sampled by the author during the site visits described in section 4 above, supplemented by information gleaned from Sector Reference Group discussions. Due to the very small size of the sample, the information is presented in broad summary form, rather than in a way which identifies a particular school. The sampling is insufficient to attempt a detailed analysis of trends.

Apart from records relating to the special character of some schools, which are not within the scope of this schedule, primary, secondary and other schools covered by this schedule largely keep the same types of records. Differences are of degree, detail or process only. For example, secondary schools are more likely to own a school vehicle, such as a van. Primary schools are more likely to confine themselves to the official enrolment record form E19/22A, while secondary schools tend to supplement this with further forms and information. Secondary schools are more likely to have instituted electronic record keeping methods, and are more involved with the Ministry's SEDEX and SMS projects. This has made it possible and practicable to take a homogenous approach in this appraisal.

The following record classes which have been developed over the last few years during the school records project are currently used for the purposes of listing, boxing and storing the records of closed schools.

- Student Records
- Management
- Personnel
- Finance
- Administration and Other Operational Records (these include property records and historical records)

Schools are at liberty to develop their own record keeping systems. The sampling used in this appraisal was small, however it tends to suggest that schools arrange their records in broad accordance with these record classes. Within this broad framework, there is a very wide variety of specific records. The sampling also suggests that, except where a school has a designated archive, the use of file coding systems or indices for school records is not universal.

7.1 Student records

The closed school records appraised did not include student records. It is normal practice to forward these to the student's new school.

The Ministry of Education official enrolment record form E19/22A (known as the "white card") for each student is required to be kept by schools and forwarded on as the student goes through the school system. Schools keep these forms in filing cabinets, box files etc. The Correspondence School does not use this form.

Schools may also keep their own enrolment records. Examples are the school's own application form, and correspondence with parents, kept in box files in a basement area, filed by year or years.

Attendance information comprised attendance registers, school rolls, and admission and withdrawal registers. School rolls (or school registers) are full lists of all students in a school. Older records

contained all the school's students in a roll, however records mostly consisted of roll books per class. Attendance registers are standard forms used for marking off daily student attendances. Electronic recording of daily attendance, as part of an SMS, is widely used in secondary schools. The only legislation which specifically affects the retention of attendance records is the Education (School Attendance) Regulations 1951. The regulations empower the Secretary of Education to set the format of attendance registers and empower the Minister to authorise the destruction of attendance registers. Attendance records do not contain information about citizenship or birth and can only act as circumstantial proof of residence in New Zealand. Admission and withdrawal registers record the duration of a student's period of enrolment at a school. Old admission and withdrawal register books are an example of attendance information kept in a school's archives area. The Correspondence School does not record daily attendance, or admission and withdrawal information in the same way as other schools. The process which governs continued funding is the "engagement" process. This requires the school to show evidence the student is submitting, participating and being assessed in curriculum activities. Engagement is tracked by means of an electronic database, which is audited by the Ministry to obtain "roll return" information.

An example of a series of individual student records comprised school reports and testimonials, filed in manilla folders or files, by student name.

Schools' archives sometimes include historical examination, scholarship and bursary results.

Various compilations of students' own work, such as projects, essays, drawings etc were also sighted as part of the visits to schools. This work is excluded from the scope of this schedule. As it is created by students, and the materials used are mostly provided by the students themselves, it is not regarded as a "school record" for the purposes of this schedule.

Use of SMS applications in schools is increasing. Examples of current uses are school reports, student and staff lists, assessment grades and analysis, and behavioural data.

7.2 Management

Several series of board of trustees minutes were appraised. Filing systems for these records included minute books, spiral bound papers by year, clear plastic folders and box files. All years were represented in the series examined. Some series were more detailed than others, including associated papers as well as minutes. These records tended to be stored physically apart and close at hand for reference purposes.

An example of an older management series comprised principals' reports dating from the 1950s.

Strategy and planning documentation appraised included school charters, strategic plans, achievement statements, planning timelines, policies and procedures, operational plans, annual reports, and working papers developing annual reports and audit plans. These records were also filed in a variety of different ways, including box files, clear display folders, spiral bound folders, loose leaf vertical files and ringbinders. Some of these records were interfiled with general board of trustee correspondence.

A school's major strategic documents comprise the school charter, strategic plan, goals and ten year property plan (10YPP). The 10YPP is a significant document which is required by the Ministry for funding purposes. It identifies future maintenance and capital projects to be funded by the budget allocated to the school. Although schools are required to forward some of this information to the Ministry, it is the school's responsibility to hold the record. The Ministry strongly encourages this information to be forwarded electronically, which is an incentive for schools to keep these records in electronic format. There is no required standard format, though most of the documentation is forwarded in MSWord.

Board of trustees correspondence records appraised were again filed in a variety of ways. Examples were box files and loose leaf vertical files. Correspondence tended to be filed by year rather than type of correspondence. As a result, core and operational correspondence, records and reference material were interfiled. These records may sometimes be kept by individual trustees rather than at the school.

7.3 Personnel

Schools maintain staff personnel files, and are very aware of security, privacy and confidentiality issues relating to these records. No personnel files were appraised.

Schools keep most personnel records on individual personnel files. The main series kept separately in the records appraised comprised payroll printouts from Datacom, the current provider of the payroll service required under the Education Act 1989 to be used by schools. These were stored loose or in envelopes, indexed with the run number and sometimes the date period. Datacom payslips in a box file were also sighted.

7.4 Finance

The record series appraised were all routine accounting records. They were filed by financial year in either box files or ringbinders. The closed school records appraised included financial and audit correspondence. An example of a file of this nature included monthly summaries of income and expenditure, bank statements, accounts, GST, salaries and wages, telephone accounts and correspondence, grant income, other income (donations, fundraising etc).

There were several comments from schools relating to the volume of financial records and the difficulty of finding space to store them. Examples of spaces used to store these records were basement areas and cupboards.

Records kept in school archives tended to be property related, for example, valuation of buildings.

7.5 Administration and other Operational records

Property records

The records appraised fell into three general categories; asset registers / inventories, general property records, or property information included in board of trustee correspondence files.

Asset registers were in the form of lists of school property, such as furniture, appliances, computer, telecommunications and audiovisual equipment, swimming pool and playground equipment and library books.

An example of the contents of a box file of general property records of a closed school included the property occupancy document, specification and tenders for school alterations and installations (security alarm, septic system), correspondence with architects, and a tenancy agreement for the school house.

Board of trustees correspondence files examined contained property and contracts correspondence.

Administration records

Very few records were appraised which dealt with routine administration as a separate series. Most of the administration records formed part of the other series appraised. As a very general example, administration records which fall within a principal's day to day oversight, such as minutes of staff meetings, tended to be kept apart from board of trustee correspondence. However, routine administration records were kept, in some cases, in the latter category.

Teaching materials

These were not appraised, but were discussed with the Sector Reference Group. Generally, teaching materials deliver the school curriculum within the National Education Guidelines issued by the Ministry. Major innovative teaching initiatives / projects are documented by the Ministry and will be reflected in their records. Day to day teaching materials are developed by individual teachers, and are often bulky and

voluminous. The distinction between what is an individual teacher's intellectual property, and what belongs to the school, is not currently clear.

Historical records

Schools differ widely in the records and memorabilia they collect as part of their history. The records appraised in this area ranged from collections of uncatalogued photographs, to collections of records forming a distinct school archives area. Subject matter of photographs ranged from annual class, staff, departmental and sports photographs, to records of major school events such as jubilees. Photographs were the most commonly kept items, though schools do not always have the resources to catalogue them. Photographic items are beginning to be stored in digital form on disks. Class photographs are regularly requested by former students.

Examples of documentary records appraised included school histories, magazines and newsletters, jubilee booklets, sports and house records, prize lists and scrapbooks.

Memorabilia examined included trophies, banners, uniforms, equipment, furniture and furnishings, and art. On the advice of Archives New Zealand, memorabilia are not included in this schedule as they are not "public records". However they will be referred to in record keeping guidelines for schools.

8. Class Information

The classes in this schedule are few in number and largely reflect the series divisions discussed in section 7 of this report. The following changes have been made:

- on the advice of the Sector Reference Group, the “Management” series is now called “Governance”; and
- the “Administration and Other Operational Records” series has been subdivided into two classes “Property and Administration” and “Historical”; and
- on the advice of Archives New Zealand, a class has been added to cover records created prior to 1945.

8.1 Student records

<i>Class Title:</i>	Student records
<i>Class Description:</i>	Enrolment, admission and withdrawal, attendance and progress records relating to individual students. The official “enrolment record” in standard form, together with any enrolment application forms created by the school for its internal purposes, is used for operational purposes and to comply with the legal requirements for compulsory education. This schedule covers only those official enrolment records kept by schools until complete rollout of the enrolment management system, when the Ministry will keep the official record. Attendance records, also in standard format, have a dual purpose, to meet legal requirements to attend school, and as the raw material from which the Ministry makes staffing, management and operations funding issues for schools. Admission and withdrawal registers record entry and exit details of students at a school, and are the core records providing an overview of the period a student was enrolled at each school throughout his or her time in the school system. This schedule covers only those admission and withdrawal registers kept by schools until complete rollout of the enrolment management system, when the Ministry will keep the official record. Progress records comprise documentation created by the school to track a student’s progress, for example reports and grades, as well as punishment records.
<i>Class number:</i>	1
<i>Value:</i>	Enrolment and attendance records are high volume records whose purpose is primarily operational. They are the raw data from which the Ministry extracts information for funding and other purposes. Their accountability value is sufficiently met by the Ministry’s own recording processes, which will be enhanced by the inclusion of more records in the enrolment management system. Their evidential and informational value is outweighed by their volume, particularly as admission and withdrawal registers will provide the core evidence of entry and exit of students at schools. Schools are regularly approached by former students and others for information which is easily retrievable via admission and withdrawal registers. This information is not duplicated anywhere else, and will be an information source for genealogists, as well as biographers and the media in the case of famous or distinguished students. Student progress records are high volume records of informational value confined to the individual or particular family context, except in the case of famous or distinguished students. Punishment records have accountability, evidential and informational value.

Recommended for retention as public archives

All records in classes 1.4 (admission and withdrawal registers)⁸, 1.6 (punishment records), and 1.7 (records of students who received significant awards or honours and/or achieved high distinction or fame).

- Accountability – admission and withdrawal registers are part of the record (together with Ministry records) which protects the legal interest of the government and citizens in fostering compulsory education. Punishment records assist in preserving the personal / civic rights and legal interests of staff, students and parents.
- Evidential value – admission and withdrawal registers have a consistent format across schools, record significant activities. Punishment records reflect the history of public policy in this aspect of educational administration.
- Informational value – for genealogists, biographers and media
 - e.g. Admission and withdrawal registers
 - e.g. School reports
 - e.g. Punishment books

Recommended for destruction

All records in classes 1.1 (official enrolment record), 1.2 (school enrolment records), 1.3 (daily attendance registers, roll books), and 1.5 (student progress records)

- Accountability – high volume, raw data only
- Evidential value – high volume, other records provide sufficient value
- Informational value – high volume, confined value
 - e.g. Enrolment forms
 - e.g. School acceptance letters
 - e.g. Attendance registers

⁸ Records in class 1.3 are to be retained as a substitute record if these records have not survived.

8.2 Governance

<i>Class Title:</i>	Governance
<i>Class Description:</i>	Records of the board of trustees (or other body authorised by legislation to govern a school) and its activities relating to the control and management of a school.
<i>Class number:</i>	2
<i>Value:</i>	Minutes of board of trustees meetings, together with the major strategic documents required to be produced by schools, make up the core record of how schools are managed and thus have significant accountability and evidential value. The major strategic documents comprise the school charter, strategic plan, goals, annual report, and ten year property plan (10YPP). The content of some significant policies and procedures is tightly controlled by the Ministry. ⁹ These records have not been recommended for retention, on the basis that their content is sufficiently covered by the Ministry's records, thus reducing their evidential value. Significant policies and procedures which are a matter for the board of trustees and will therefore vary from school to school are of accountability, evidential and informational value. Lower level planning, policy and other documents developed by the board of trustees are of routine operational value only. Board of trustees' correspondence is of accountability, evidential and informational value where it deals with matters of significant community interest, major school activities and programmes, and matters relating to the legal rights and interests of principals, staff, students and parents. Other board of trustees' correspondence is of routine operational and administrative value only. Records relating to the election of trustees have routine administrative value only. This process is governed by regulation.

Recommended for retention as public archives

All records in classes 2.1 (minutes), 2.2 (major strategic documents), 2.3 (annual report), 2.4 (significant policies and procedures) and 2.7 (significant correspondence).

- Accountability – records the core activities of a school and how it manages the funding allocated to it by the government, protects the legal / personal rights of staff, students and parents
- Evidential value – provides a body of records which show the way the school system is run
- Informational value – records a pattern of significant community activities around schools, records the “tomorrow’s schools” method of managing schools
- Cost considerations – while these records are high volume because of the number of schools in New Zealand, cost considerations are outweighed by accountability considerations and to a lesser extent, evidential value
 - e.g. Board of trustees minutes / minute books
 - e.g. School charter, strategic plan, goals, annual report of the board of trustees, ten year property plan
 - e.g. School jubilee correspondence

Recommended for destruction

All records in classes 2.5 (policies controlled by Ministry, low level planning, policy documents); 2.6 (election administration records); 2.8 (operational correspondence) and 2.9 (routine correspondence).

- Routine operational / administrative records, high volume, low evidential / informational value
 - e.g. Purchasing policy
 - e.g. School rules
 - e.g. Acknowledgement letters to parents for participation in a school activity

⁹ The Ministry's National Education and Administration Guidelines (NEGs & NAGs) are available on its website www.minedu.govt.nz

8.3 Personnel

<i>Class Title:</i>	Personnel
<i>Class Description:</i>	Records relating to the employment, management and development of principals, teaching and non-teaching staff, and the maintenance of a safe and healthy work environment.
<i>Class number:</i>	3
<i>Value:</i>	Most of the records in this class consist of routine operational and administrative personnel files, and general administration of the recruitment, training, health and safety processes. They are of low accountability, evidential and informational value. Schools keep these records for the most part on individual personnel files. The personnel files of principals are not of sufficient accountability, evidential or informational value to be retained as a class. A school principal is in a different position from a CEO of a government department. Board of trustees minutes will represent a sufficient record of the management of the school and interactions with the principal. It is recommended that personnel files of principals and / or staff who have received significant honours and/or high distinction etc are retained, where these are easily identifiable. This information is not duplicated anywhere else, and is of informational value for genealogists, as well as biographers and the media. Serious accident registers have accountability and evidential value relating to citizens' rights and in recording patterns of accidents happening in agencies.

Recommended for retention as public archives

All records in classes 3.1 (personnel files of distinguished or famous staff) and 3.9 (serious accident registers).

- Accountability – preservation of citizens' rights and interests relating to serious accidents
- Evidential value – forms part of the overall New Zealand record of accident patterns and associated health and safety issues
- Informational value – for genealogists, biographers and media
 - e.g. Serious accident registers
 - e.g. Personnel files

Recommended for destruction

All records in classes 3.2 (personnel files), 3.3 (payroll, salaries, allowances etc), 3.4 (leave and staff attendance records), 3.5 (staff grievances and disputes), 3.6 (recruitment administration), 3.7 (training and development administration) and 3.8 (non-serious accidents)

- Routine operational / administrative records, high volume, low evidential / informational value
 - e.g. Personnel files
 - e.g. Payroll reports
 - e.g. Advertising for positions

8.4 Finance

<i>Class Title:</i>	Finance
<i>Class Description:</i>	Records relating to financial transactions, including reporting, budgeting, funding, insurance, audit and fraud.
<i>Class number:</i>	4
<i>Value:</i>	Most of the records in this class consist of routine financial transactions and administration, high in volume and of low accountability, evidential and informational value. Loans and funding records for schools are considered to be in this category, as they are not "major" when compared to a government department. Schools must obtain approval from the Ministry for loans above a specified proportion of their operations grant, and the records of these approvals are held by the Ministry. Likewise, school accounts are externally audited yearly, however these are, for the most part routine, low level audits which do not represent sufficient accountability or evidential value to outweigh their volume and the consequent costs of keeping them. The ad hoc audit which reveals evidence of fraud, wrongdoing, negligence etc has accountability, evidential and informational value, as do general instances of serious fraud and theft. Strategic records relating to the use of major sources of funding (apart from normal operations grants from the Ministry) are of accountability and evidential value as they protect the rights and interests of citizens, in particular parents, community groups etc.

Recommended for retention as public archives

All records in classes 4.4 (strategic funding), 4.6 (major audit reports) and 4.8 (serious fraud and theft).

- Accountability – protection of citizens rights and interests, protection of government interests relating to monitoring use of funding in schools
- Evidential value – fiscal value, support efficient financial management and monitor activities
- Informational value – contribute to measuring progress and success of "tomorrow's schools" method of school management
 - e.g. Correspondence relating to a major grant from a community group
 - e.g. Audit Office reports

Recommended for destruction

All records in classes 4.1 (routine accounting records), 4.2 (loans and investments), 4.3 (budgeting and reporting), 4.5 (insurance), 4.7 (routine audit reports) and 4.9 (minor fraud and theft)

- Routine operational / administrative records, high volume, low accountability, evidential, informational value
 - e.g. Invoices and receipts
 - e.g. Loan agreements
 - e.g. Quarterly reports

8.5 Property and administration

<i>Class Title:</i>	Property and administration
<i>Class Description:</i>	Records relating to the acquisition, management, maintenance and disposal of property and equipment owned, occupied or controlled by the school, teaching materials, and routine administration records not falling within any other class.
<i>Class number:</i>	5
<i>Value:</i>	Most of the records in this class consist of routine property and contractual transactions and routine administration and teaching activities, of low accountability, evidential and informational value. Land ownership and / or occupancy documentation, plans and project files relating to major buildings or those with historical or significant architectural merit, records documenting the disposal of major property assets, and major contracts incurring significant expenditure represent the core records in this class which have accountability, evidential and informational value. The most common record in this group is the property occupancy document (POD) for state schools or its equivalent in state integrated schools. Schools themselves will only hold property ownership documentation and be able to dispose of property where the board of trustees owns land or property in its own right. As state schools are situated on Crown land, the bulk of ownership documentation is held by the Ministry. As some schools have been in existence over a long time span, building plans may have historical and heritage value. Any associated property project files for major or significant buildings will provide useful contextual information for these plans. Although it is common for the school and the Ministry to hold signed copies of major contracts, this practice is not consistent, nor is it clear which is the “master copy”. For these reasons, their retention is recommended. Teaching materials are a “product delivery” of the school curriculum, as required by the National Education Guidelines produced by the Ministry, high in volume and of low accountability, evidential and informational value. Major innovative teaching initiatives / projects are documented by the Ministry and will therefore form part of the Ministry’s records. For these reasons, it is not recommended that teaching materials are retained.

Recommended for retention as public archives

All records in classes 5.1 (land ownership and/or occupancy), 5.5 (major building plans), 5.8 (disposal of major capital assets) and 5.11 (major contracts).

- Accountability – protects citizens’ and government interests by showing how funding is used in major property decisions
- Evidential value – major activities, core functions in relation to school property, reliable documentation, complements financial records
- Informational value – credible records which document patterns of property ownership and management by boards of trustees, and the extent of this function in relation to the role of the government via the Ministry in the “tomorrow’s schools” context, historical and heritage architectural value
- Cost considerations – low volume, high value records
 - e.g. Property occupancy document
 - e.g. Sale and purchase agreement
 - e.g. Contract for major building works

Recommended for destruction

All records in classes 5.2 (leases), 5.3 (licences), 5.4 (equipment leases), 5.6 (routine building plans), 5.7 (property maintenance), 5.9 (stores), 5.10 (vehicles), 5.12 (routine contracts), 5.13 (tender reports), 5.14

(tender documentation), 5.15 (routine administration) and 5.16 (teaching materials)

- Routine operational / administrative records, high volume, low accountability, evidential, informational value
 - e.g. Licence to occupy building for school dental clinic
 - e.g. Contracts and correspondence regarding building repairs
 - e.g. Fire evacuation plans
 - e.g. Teaching notes

8.6 Historical

Class Title: Historical

Class Description: Records collected by the school as part of the documentation of its history, including its interaction within the local and wider community. Includes all formats, e.g. audiovisual, multimedia etc.

Class number: 6

Value: The records in this class have either local or wider informational value and are the types of records commonly kept in school archives where these exist. Those records considered to be of wider informational as well as evidential value are photographs and other records documenting significant events / milestones in the history of a school, and major school publications, such as yearbooks. Former Department of Education filmstrips with New Zealand content, together with associated teaching notes, are also included in this category to address an earlier draft appraisal by Archives New Zealand.¹⁰ As Archives New Zealand now has a full set of these filmstrips, it advises that any still held by schools will be duplicates and may be destroyed. Other former Department of Education filmstrips have been appraised by Archives New Zealand as of insufficient value to require their retention. The remainder of the records in this class, while generally considered of high informational value by schools, are of local informational value only¹¹. These records include routine photographs (such as class photos), records of normal school functions and occasions, routine newsletters and news clippings.

Recommended for retention as public archives

All records in classes 6.1 (significant photographs), 6.3 (major publications), and 6.6 (significant events / milestones).

- Evidential value – Core body of records representing evidence over time of school organisation, functions and activities in relation to its overall operation and history. Filmstrips together with the contextual information provided by their teaching notes, play an evidential role in demonstrating aspects of the primary school curriculum from about 1950 onwards.
- Informational value – Core records of the overall history of schools, of value to genealogists, biographers, media, documentary and film makers etc. Filmstrips represent a visual record of New Zealand activities, environmental issues and social history.
 - e.g. Photographs and correspondence relating to school jubilees
 - e.g. Photographs and correspondence relating to the opening of a major new building
 - e.g. Yearbooks

¹⁰ Refer to section 5 above

¹¹ Schools wish to have the option of transferring these locally when administrative use ceases – this issue is raised in section 2 above.

Recommended for destruction

All records in classes 6.2 (routine photographs), 6.4 (routine newsletters), 6.5 (news clippings), 6.7 (records of routine school functions / occasions) and 6.8 (Education Department filmstrips).

- Of school and local informational value only
- Filmstrips have low informational and evidential value, information can be obtained from other published resources, Archives New Zealand holds a full set of those with New Zealand content.
 - e.g. Annual class and sports team photographs
 - e.g. Lists of recipients of prizes
 - e.g. Circulars to parents

8.7 Records created prior to 1945

Class Title: Records created prior to 1945

Class Description: Records created by schools prior to 1945 which fall within those records recommended for destruction in classes 1-6. Excludes the records of state integrated schools prior to integration, which are not within the scope of this schedule.

Class number: 7

Value: Some records created prior to 1945, while routine in themselves, may have evidential or informational value either intrinsically because of their age, or time span, or as part of the record of education and/or broader social history in New Zealand.

Recommended for appraisal as public archives

All records in this class are recommended to be retained for appraisal

- Evidential and/or informational value to be appraised
 - e.g. Photographs of sports teams
 - e.g. Routine newsletters or circulars
 - e.g. School rules

Recommended for destruction

Nil

9. Access Recommendations

[have been removed]

10. Transfer Arrangements

[have been removed]

11. Final Details

[have been removed]

Refer to any sentencing guidelines accompanying this report for specific recommendations:

- Records must be kept for the minimum period given
- Records may be destroyed at any point once the minimum retention periods have passed. Records do not have to be destroyed, the agency may keep them for longer if still required.

Refer to any sentencing guidelines accompanying this report for specific recommendations:

- Records must be kept for the minimum period specified.
- Records may be destroyed at any point once the minimum retention periods have passed. Records do not have to be destroyed; the agency may keep them for longer if required.

This authority is valid for a period of 10 years from date of signing,
unless previously agreed with the Chief Archivist.