

State Archives and Records Authority of New South Wales

Functional Retention and Disposal Authority: FA280

This authority covers records documenting the conduct and assessment of examinations in music, speech and drama

This functional retention and disposal authority is approved under section 21(2)c of the *State Records Act 1998* following prior approval by the Board of the State Archives and Records Authority of New South Wales in accordance with section 21(3) of the Act.

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Functional Retention and Disposal Authority

Authority no FA280

SR file no 01/0680,
20/0065

Scope

This functional retention and disposal authority covers records documenting the conduct and assessment of examinations in music, speech and drama.

Public office

NSW Education Standards Authority

Approval date

20/4/2009

Reissued date

25 August 2020

No changes to disposal classes or actions. See reference added to the General retention and disposal authority: administrative records
COMMUNITY RELATIONS – Customer service.

About the Functional Retention and Disposal Authority

Purpose of the authority

The purpose of this retention and disposal authority is to identify those records created and maintained by NSW public offices which are required as State archives and to provide approval for the destruction of certain other records created and maintained by NSW public offices, after minimum retention periods have been met.

The approval for disposal given by this authority is given under the provisions of the *State Records Act 1998* only and does not override any other obligations of an organisation to retain records.

The retention and disposal of State records

The records retention and disposal practices outlined in this authority are approved under section 21(2)(c) of the *State Records Act 1998* (NSW). Part 3 (Protection of State Records) of the Act provides that records are not to be disposed of without the consent of the State Archives and Records Authority of New South Wales (State Archives and Records NSW) with certain defined exceptions. These exceptions include an action of disposal which is positively required by law, or which takes place in accordance with a normal administrative practice (NAP) of which State Archives and Records NSW does not disapprove. Advice on the State Records Act can be obtained from State Archives and Records NSW.

The authority sets out how long the different classes of records generated by an organisation must be kept to meet its legal, operational and other requirements, and whether the records are to be kept as State archives. State Archives and Records NSW reviews and approves organisations' retention and disposal authorities under the *State Records Act*. It is the duty of a public office, in submitting a draft retention and disposal authority for approval, to disclose to State Archives and Records NSW any information which affects the retention of the records covered by the authority.

State Archives and Records NSW's decisions take into account both the administrative requirements of public offices in discharging their functional responsibilities and the potential research use of the records by the NSW Government and the public. One of State Archives and Records NSW's functions is to identify and preserve records as State archives. These are records which document the authority and functions of Government, its decision-making processes and the implementation and outcomes of those decisions, including the nature of their influence and effect on communities and individual lives. Criteria for the identification of State archives are listed in *Building the Archives: Policy on records appraisal and the identification of State archives*. The Policy also explains the roles and responsibilities of State Archives and Records NSW and of public offices in undertaking appraisal processes and disposal activities.

Implementing the authority

This retention and disposal authority covers records controlled by the public office and applies only to the records or classes of records described in the authority. The authority should be implemented as part of the records management program of the organisation. Two primary objectives of this program are to ensure that records are kept for as long as they are of value to the organisation and its stakeholders and to enable the destruction or other disposal of records once they are no longer required for business or operational purposes.

The implementation process entails use of the authority to sentence records. Sentencing is the examination of records in order to identify the disposal class in the authority to which they belong. This process enables the organisation to determine the appropriate retention period and disposal action for the records. For further advice see *Implementing a retention and disposal authority*.

Where the format of records has changed (for example, from paper-based to electronic) this does not prevent the disposal decisions in the authority from being applied to records which perform the same function. The information contained in non paper-based or technology dependant records must be accessible for the periods prescribed in the classes. Where a record is copied, either onto microform or digitally imaged, the original should not be disposed of without authorisation (see the *General Retention and Disposal Authority – Original or source records that have been copied*). Public offices will need to ensure that any software, hardware or documentation required to gain continuing access to technology dependent records is available for the periods prescribed.

Disposal action

Records required as State archives

Records which are to be retained as State archives are identified with the disposal action 'Required as State archives'. Records that are identified as being required as State archives should be stored in controlled environmental conditions and control of these records should be transferred to State Archives and Records NSW when they are no longer in use for official purposes.

The transfer of control of records as State archives may, or may not, involve a change in custodial arrangements. Records can continue to be managed by the public office under a distributed management agreement. Public offices are encouraged to make arrangements with State Archives and Records NSW regarding the management of State archives.

Transferring records identified as State archives and no longer in use for official purposes to State Archives and Records NSW should be a routine and systematic part of a public office's records management program. If the records are more than 25 years old and are still in use for official purposes, then a 'still in use determination' should be made.

Records approved for destruction

Records that have been identified as being approved for destruction may only be destroyed once a public office has ensured that all other requirements for retaining the records are met. Retention periods set down in this authority are *minimum* periods only and a public office should keep records for a longer period if necessary. Reasons for longer retention can include legal requirements, administrative need, government directives and changing social or community expectations. A public office **must not** dispose of any records where the public office is aware of possible legal action (including legal discovery, court cases, formal applications for access) where the records may be required as evidence.

Once all requirements for retention have been met, destruction of records should be carried out in a secure and environmentally sound way. Relevant details of the destruction should be recorded. See *Destruction of records: a practical guide*.

Organisations should review functional retention and disposal authorities regularly to ensure that they remain relevant as the organisation's functions and activities, operating environment and requirements for records change. Retention requirements may change over time. This can occur when:

- business needs or practices change
- new laws, regulations or standards are introduced
- new technology is implemented
- government administration is restructured and functions are moved between entities, or
- unforeseen or new community expectations become apparent.

State Archives and Records NSW recommends that organisations check any functional retention and disposal authorities more than 5 years old to ensure that the retention periods and disposal actions remain relevant.

Regardless of whether a record has been approved for destruction or is required as a State archive, a public office or an officer of a public office **must not** permanently transfer possession or ownership of a State record to any person or organisation without the explicit approval of State Archives and Records NSW.

Administrative change

This retention and disposal authority has been designed to link records to the functions they document rather than to organisational structure. This provides for a stable retention and disposal authority that is less affected by administrative change. The movement of specified functions between branches or units within the public office does not require the authority to be resubmitted to State Archives and Records NSW for approval. However, when functions move from one public office to another the public office that inherits the new function should contact State Archives and Records NSW to discuss use of any existing retention and disposal authority approved for use by a predecessor organisation.

Amendment and review of this authority

State Archives and Records NSW must approve any amendment to this authority. Public offices that use the authority should advise State Archives and Records NSW of any proposed changes or amendments to the authority.

State Archives and Records NSW recommends a review of this authority after five years to establish whether its provisions are still appropriate. Either the public office or State Archives and Records NSW may propose a review of the authority at any other time, particularly in the case of change of administrative arrangements, procedures or to operating environments which are likely to affect the value of the records covered by this authority.

In all cases the process of review will involve consultation between State Archives Records NSW and the public office. If the process of review reveals that this authority requires amendment, the necessary amendments should be made and approved.

Contact Information

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Functional Retention and Disposal Authority
Conduct and assessment of examinations in music, speech and drama

Authority number: FA280

Dates of coverage: 1945+

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No	Function/Activity	Description	Disposal Action
1.0.0	EXAMINATION CONDUCT & RESULTS	<p>The function of conducting state-wide examinations in music, speech and drama and providing examination results. Includes the arrangements for examinations, the supervision and marking of the examinations and the conferring of awards.</p> <p>See General Retention and Disposal Authority <i>Administrative Records</i> COMMUNITY RELATIONS – Customer service for records relating to evaluation forms or surveys providing feedback on the organisations services, events, programs, workshops or other activities.</p> <p>See General Retention and Disposal Authority <i>Administrative Records</i> GOVERNING BODIES - Meetings for records of the Board and sub-committees.</p> <p>See General Retention and Disposal Authority <i>Administrative Records</i> PUBLICATION - Production for records relating to the production of examination papers.</p> <p>See General Retention and Disposal Authority <i>Personnel Records</i> PERSONNEL - Employment Conditions for case files maintained for each examiner, assessor and adviser.</p>	
1.1.0	Advice	<p>The activities associated with offering and receiving opinions and advice relating to the conduct and results of state-wide music, speech and drama examinations.</p> <p>See General Retention and Disposal Authority <i>Administrative Records</i> GOVERNING BODIES - Meetings for records relating to advice provided to the Board.</p> <p>See General Retention and Disposal Authority <i>Administrative Records</i> GOVERNMENT RELATIONS - Advice for records relating to advice provided to the Minister and government organisations.</p>	
1.1.1		<p>Records relating to the receipt and provision of advice to examiners, teachers, students and the public relating to the conduct and results of examinations. Records include requests and responses.</p>	Retain minimum of 2 years after last action, then destroy

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No	Function/Activity	Description	Disposal Action
<i>EXAMINATION CONDUCT & RESULTS - Advice</i>			
1.1.2		Records relating to the drafting and development of brochures, flyers, fact sheets and other information publications relating to the conduct and results of examinations. Records include: <ul style="list-style-type: none"> • final versions • drafts • background material. 	Retain until superseded or until ceases to be of administrative or reference use, then destroy
1.2.0	Appeals	The activities of managing appeals against decisions by application to the agency or a higher authority.	
1.2.1		Records relating to appeals to the agency or tribunal, such as the AMEB Appeals Tribunal, on the examination process or results. Includes appeals against the refusal to grant special examination provisions. Records include: <ul style="list-style-type: none"> • applications • proceedings • correspondence relating to appeal • supporting documents • determinations. 	Retain minimum of 5 years after last action, then destroy
1.3.0	Arrangements	The activities involved in arranging for the conduct of music, speech and drama examinations. Includes arrangements made for the storage and delivery of equipment or goods, and booking venues.	
1.3.1		Records relating to administrative arrangements for examinations. Records include: <ul style="list-style-type: none"> • venue bookings • schedules 	Retain minimum of 2 years after last action, then destroy

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No	Function/Activity	Description	Disposal Action
<i>EXAMINATION CONDUCT & RESULTS - Authorisation</i>			
		<ul style="list-style-type: none"> • advertisements • media liaison • security arrangements • notices • distribution lists • storage and tracking of examination papers • delivery instructions • set up instructions 	
1.4.0	Authorisation	The activities associated with seeking permission to perform an item not included on repertoires of suitable pieces for practical examinations.	
1.4.1		Records relating to applications for permission to perform an item not included on repertoires of suitable pieces for practical examinations. Includes successful and unsuccessful applications. Records include: <ul style="list-style-type: none"> • application/request • copies of piece (e.g. music sheet) • determination 	Retain until relevant syllabus is superseded, then destroy
1.5.0	Complaints	The activities associated with the process of handling complaints regarding the conduct and results of for state-wide examinations in music, speech and drama. See Appeals for records relating to complaints that result in an appeal being lodged.	
1.5.1		Records documenting the management of complaints relating to the conduct and results of examinations. Records include: <ul style="list-style-type: none"> • complaints 	Retain minimum of 2 years after last action, then destroy

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No	Function/Activity	Description	Disposal Action
<i>EXAMINATION CONDUCT & RESULTS - Complaints</i>			
		<ul style="list-style-type: none"> • investigations • responses. 	
1.5.2		Records relating to the management of complaints regarding the examiner / assessor in the examination or written marking. Records include: <ul style="list-style-type: none"> • complaints • investigations • adviser reviews • examiner reports • responses. 	Retain minimum of 7 years after examiner ceases employment, then destroy
1.6.0	Enrolment	The activities associated with the enrolment of candidates for examinations.	
1.6.1		Records relating to the receipt and processing of enrolment forms to undertake examinations. Records include: <ul style="list-style-type: none"> • enrolment and provisional enrolment forms • amendments, such as change of student detail, and withdrawals • correspondence relating to enrolment. 	Retain minimum of 1 year after examination, then destroy
1.7.0	Enquiries	The activities associated with the handling of requests for information about the state-wide examinations in music, speech and drama. See Complaints for records relating to the management of complaints regarding the conduct and results of examinations.	
1.7.1		Records relating to the management of enquiries associated with the syllabus and the conduct and results of examinations. Records include enquiry or telephone logs.	Retain minimum of 2 years after last action, then destroy

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No	Function/Activity	Description	Disposal Action
<i>EXAMINATION CONDUCT & RESULTS - Examination supervision</i>			
1.8.0	Examination supervision	<p>The activities associated with the supervision of students undertaking state-wide examinations in music, speech and drama.</p> <p>See Malpractice for records relating to the reporting of cases of malpractice, such as cheating, identified during examinations.</p> <p>See General Retention and Disposal Authority <i>Personnel Records</i> PERSONNEL - Recruitment for records relating to the recruitment and selection of examination supervisors.</p> <p>See General Retention and Disposal Authority <i>Administrative Records</i> STAFF DEVELOPMENT - Training for records relating to the training of examination supervisors.</p> <p>See General Retention and Disposal Authority <i>Financial and Accounting Records</i> PERSONNEL - Salaries for records relating to the payment of salaries and allowances for examination supervisors.</p>	
1.8.1		Records relating to student attendance and the supervision of examinations. Records include student attendance sheets and vouchers.	Retain minimum of 6 months after last action, then destroy
1.8.2		Records relating to reporting of inappropriate examination conditions or equipment that could adversely affect the student's examination performance, in practical and written examinations, such as room being unreasonably hot or piano being out of tune. Records include supervisors' incident report and supporting documents.	Retain minimum of 1 year after examination, then destroy
1.9.0	Malpractice	<p>The activities associated with the reporting and investigation of malpractice during state-wide examinations in music, speech and drama.</p> <p>See Appeals for records relating to appeals against a finding of malpractice.</p>	
1.9.1		Records relating to the reporting and investigations into cases of alleged malpractice, such as cheating, during examinations. Records include:	Retain minimum of 7 years after report of incident, then

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No	Function/Activity	Description	Disposal Action
<i>EXAMINATION CONDUCT & RESULTS - Marking</i>			
		<ul style="list-style-type: none"> • supervisor's report concerning breach • evidence of breach (e.g. cheat notes) • interviews • responses and statements • correspondence relating to breach and investigation • determination. 	destroy
1.10.0	Marking	<p>The activities associated with marking practical and written examinations in music, speech and drama.</p> <p>See General Retention and Disposal Authority <i>Personnel Records</i> PERSONNEL - Recruitment for records relating to the recruitment and selection of examiners and markers.</p> <p>See General Retention and Disposal Authority <i>Administrative Records</i> STAFF DEVELOPMENT - Training for records relating to the training of examiners and markers.</p> <p>See General Retention and Disposal Authority <i>Financial and Accounting Records</i> PERSONNEL - Salaries for records relating to the payment of salaries and allowances for examiners and markers.</p>	
1.10.1		<p>Records relating to the administration and marking of written and practical examinations. Records include:</p> <ul style="list-style-type: none"> • examiner timetables recording each student, practical examination time and examination mark • copies of report forms recording students' performance during practical examination. • mark sheets which record written examination results. 	Retain minimum of 3 years after examination event, then destroy

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<i>EXAMINATION CONDUCT & RESULTS - Marking</i>			
1.10.2		Written student examination responses.	Retain minimum of 3 years after examination event, then destroy
1.10.3		Records documenting requests for remarks or clerical rechecks of written examinations. Records include requests and responses.	Retain minimum of 1 year after last action, then destroy
1.11.0	Planning	The process of formulating ways in which objectives can be achieved.	
1.11.1		Records relating to the logistical planning of state-wide examination events. Records include planning and marking schedules.	Retain minimum of 2 years after event, then destroy
1.12.0	Policy	The activities associated with developing and establishing internal policies relating to the conduct and results of state-wide examinations in music, speech and drama.	
1.12.1		Records relating to the development and review of policies concerning the conduct and results of examinations, such as special needs for examination students. Records include: <ul style="list-style-type: none"> • policy proposals • background research • records of consultations or meetings • draft versions of policies containing significant changes/alterations or formally circulated for comment • final approved policy. 	Retain minimum of 5 years after policy is superseded, then destroy

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No	Function/Activity	Description	Disposal Action
<i>EXAMINATION CONDUCT & RESULTS - Procedures</i>			
1.13.0	Procedures	Standard methods of operating laid down by an organisation according to formulated policies.	
1.13.1		Records relating to the development and review of the agency's procedures relating to the conduct and results of state-wide examinations in music, speech and drama. Records include: <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment • final approved versions of manuals, handbooks, guideline etc 	Retain minimum of 5 years after superseded, then destroy
1.14.0	Results and Awards	The activities associated with maintaining examination results and the awarding of certificates to successful students and awards of excellence to teachers. See General Retention and Disposal Authority <i>Administrative Records</i> COMMUNITY RELATIONS - Celebrations, Ceremonies, Functions for records relating to arranging and managing award ceremonies.	
1.14.1		Summary records of examination results and certificates awarded to students, teachers and schools.	Retain in agency
1.14.2		Records relating to requests for replacement certificates and awards and records of achievement.	Retain minimum of 5 years after last action, then destroy
1.14.3		Records relating to administration arrangements for the release of examination results. Records include: <ul style="list-style-type: none"> • distribution lists • correspondence regarding results. 	Retain minimum of 2 years after last action, then destroy

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No	Function/Activity	Description	Disposal Action
<i>EXAMINATION CONDUCT & RESULTS - Results and Awards</i>			
1.14.4		Statistical reports on examination results provided to Federal Office.	Retain minimum of 5 years after last action, then destroy
1.15.0	Reviewing	The activities involved in evaluating or re-examining examination processes.	
1.15.1		Records relating to reviews of processes relating to the conduct and results of state-wide examinations in music, speech and drama. Records include establishment of review project, final report and recommendations.	Retain minimum of 5 years after last action, then destroy
1.16.0	Special examination provisions	The activity of managing applications for the consideration of special examination provisions for students. See Appeals for records relating to appeals against denial of special examination provisions.	
1.16.1		Records relating to applications for provisions for students who have special examination needs (e.g. large print examination papers). Includes approved and denied applications. Records include: <ul style="list-style-type: none"> • application • supporting documents (e.g. medical certificates) • parents' permissions • determination • notifications • correspondence between relevant parties. 	Retain minimum of 15 years after last action, then destroy