

State Archives and Records Authority of New South Wales

Functional Retention and Disposal Authority: FA285

This authority covers records documenting the function of school curriculum, assessments, school regulation and teacher accreditation

This 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.

State Archives and Records Authority of New South Wales

Functional Retention and Disposal Authority

Authority no FA285

SR file no 01/0680,
20/0065

Scope This retention and disposal authority covers records documenting the function of school curriculum, assessments, school regulation and teacher accreditation.

Public office NSW education Standards Authority

Approval date 21/8/2009

Amended 27/4/2020

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

State Archives and Records NSW
 PO Box 516
 Kingswood NSW 2747
 Telephone: (02) 9673 1788
 E-mail: govrec@records.nsw.gov.au

**Functional Retention and Disposal Authority
school curriculum, assessments, school regulation and teacher
accreditation**

Authority number: FA285

Dates of coverage: Open

List of Functions and Activities covered

Function	Activity	Reference	Page
CURRICULUM DEVELOPMENT AND MAINTENANCE		1.0.0	9
	Advice	1.1.0	9
	Course Endorsement	1.2.0	10
	Course Prescriptions	1.3.0	10
	Enquiries	1.4.0	11
	Planning	1.5.0	11
	Policy	1.6.0	11
	Procedures	1.7.0	12
	Project Management	1.8.0	12
	Reporting	1.9.0	13
	Research	1.10.0	13
	Syllabus Development and Review	1.11.0	13
	Syllabus Implementation	1.12.0	15
	Syllabus Performance Bands	1.13.0	15
EXAMINATION DEVELOPMENT AND CONDUCT		2.0.0	16
	Advice	2.1.0	16
	Appeals	2.2.0	17
	Arrangements	2.3.0	17
	Enquiries	2.4.0	18
	Examination Development	2.5.0	18
	Examination Supervision	2.6.0	19
	Malpractice	2.7.0	19
	Planning	2.8.0	20

school curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

List of Functions and Activities covered			
Function	Activity	Reference	Page
	Policy	2.9.0	20
	Procedures	2.10.0	21
	Project Management	2.11.0	21
	Reporting	2.12.0	22
	Special Examination Provisions	2.13.0	22
EXAMINATION MARKING		3.0.0	24
	Advice	3.1.0	24
	Appeals	3.2.0	25
	Arrangements	3.3.0	26
	Certification	3.4.0	27
	Complaints	3.5.0	27
	Enquiries	3.6.0	28
	Malpractice	3.7.0	28
	Marks Adjustment	3.8.0	28
	Marks Capture	3.9.0	29
	Policy	3.10.0	30
	Procedures	3.11.0	30
	Project Management	3.12.0	31
	Quality Assurance	3.13.0	31
	Reporting	3.14.0	32
	Research	3.15.0	32
REGULATION		4.0.0	34
	Advice	4.1.0	34
	Appeals	4.2.0	34
	Application Review	4.3.0	35

school curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

List of Functions and Activities covered

Function	Activity	Reference	Page
	Complaints	4.4.0	37
	Enquiries	4.5.0	38
	Monitoring	4.6.0	38
	Policy	4.7.0	38
	Procedures	4.8.0	38
STUDENT CREDENTIALLING		5.0.0	40
	Advice	5.1.0	40
	Appeals	5.2.0	41
	Authorisation	5.3.0	41
	Awards Issue	5.4.0	41
	Complaints	5.5.0	42
	Educational equivalence	5.6.0	42
	Enquiries	5.7.0	42
	Enrolment	5.8.0	43
	Planning	5.9.0	43
	Policy	5.10.0	43
	Procedures	5.11.0	44
	Project Management	5.12.0	44
	Reporting	5.13.0	45
	Results Release	5.14.0	45
QUALITY TEACHING		6.0.0	47
	Advice	6.1.0	47
	Policy and procedures	6.2.0	49
	Teacher accreditation	6.3.0	49
	Teacher education	6.4.0	50

Functional Retention and Disposal Authority school curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

1.0.0 CURRICULUM DEVELOPMENT AND MAINTENANCE

The function of reviewing and developing the State education curriculum and associated syllabuses.

See General Retention and Disposal Authority *Administrative records* **COMMITTEES** for records of committees established to develop the state education curriculum or associated syllabuses.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Addresses** for the giving of addresses relating to the school education curriculum or syllabus for professional or community relations purposes.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Conferences** for conferences and forums held by the agency or attended by personnel.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Grant Funding** for grants from external sources to conduct syllabus reviews.

1.1.0 Advice

The activities associated with offering and receiving opinions and advice relating to the development and implementation of the state education curriculum and associated syllabuses.

1.1.1	Records relating to the provision of detailed and significant advice to the Minister, senior management or the Board on the education curriculum or syllabuses. Includes detailed and high level advice on proposed major changes to the curriculum. Records include briefing notes.	Required as State archives
1.1.2	Records relating to the receipt and provision of routine advice to the Minister, senior management or the Board relating to the education curriculum or associated syllabuses. Records include advice requests and responses.	Retain minimum of 5 years after last action, then destroy
1.1.3	Records relating to the drafting and development of brochures, flyers, fact sheets and other information publications relating to the education curriculum or syllabuses. Records include: <ul style="list-style-type: none"> • final versions • drafts 	Retain until superseded or until ceases to be of administrative or reference use, then destroy

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

CURRICULUM DEVELOPMENT AND MAINTENANCE - Course Endorsement

	<ul style="list-style-type: none"> • background material. 	
--	--	--

1.2.0 Course Endorsement

The activities associated with the endorsement of courses not developed by the agency.

1.2.1	Records relating to applications for endorsement of Higher School Certificate courses developed by schools and universities. Includes applications that are approved, deferred, lapsed or rejected. Records include: <ul style="list-style-type: none"> • applications • course evaluation check lists • supporting documents • correspondence • notes of meetings of endorsement panels • copies of decision letters. 	Retain minimum of 5 years after the endorsement or deferral period has lapsed or expires, or last action, whichever is later, then destroy
-------	--	--

1.3.0 Course Prescriptions

The activities associated with selecting and prescribing texts for study.

1.3.1	Records relating to the selection of prescribed texts for study, including amendments. Records include: <ul style="list-style-type: none"> • authorised, published versions • summaries of consultations • recommendations. 	Required as State archives
1.3.2	Records relating to the development of prescribed texts for study. Records include: <ul style="list-style-type: none"> • literature searches • comments and feedback • draft lists. 	Retain minimum of 5 years after release of prescribed list, then destroy

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

CURRICULUM DEVELOPMENT AND MAINTENANCE - Enquiries

1.4.0 Enquiries

The activities associated with the handling of requests for information about the education curriculum or associated syllabuses.

1.4.1	Records relating to the handling of routine enquiries about the education curriculum or associated syllabuses, by educators, other organisations or the public. Records include enquiry and telephone registers.	Retain minimum of 2 years after last action, then destroy
-------	--	---

1.5.0 Planning

The process of formulating ways in which objectives can be achieved.

1.5.1	Records relating to the development of plans supporting curriculum and syllabus review and development processes, such as curriculum implementation plans and branch priority plans. Records include: <ul style="list-style-type: none">• background research• draft versions of plans containing significant changes/alterations or formally circulated for comment• notes of meetings or reports analysing issues and the outcomes of consultation with employees, stakeholders etc.• final approved versions.	Retain minimum of 5 years after last action, then destroy
-------	---	---

1.6.0 Policy

The activities associated with developing and establishing policies relating to the state education curriculum and associated syllabuses.

1.6.1	Records relating to the development and review of policies concerning the education curriculum or associated syllabuses. Records include: <ul style="list-style-type: none">• policy proposals• background research	Required as State archives
-------	--	----------------------------

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

CURRICULUM DEVELOPMENT AND MAINTENANCE - Procedures

	<ul style="list-style-type: none"> • draft versions of policies containing significant changes/alterations or formally circulated for comment • notes of meetings or reports analysing issues and the outcomes of consultation with stakeholders etc. • final approved policy. 	
--	---	--

1.7.0 Procedures

The activities associated with developing and establishing internal procedures relating to the development and review of the education curriculum or syllabuses.

1.7.1	Final, approved versions of manuals, handbooks, guidelines etc. detailing procedures for the conduct of curriculum or syllabus development and review processes.	Retain minimum of 5 years after superseded, then destroy
1.7.2	Records relating to the development and review of procedures for the conduct of curriculum or syllabus development and review processes. Records include: <ul style="list-style-type: none"> • background research • drafts • reports analysing issues and the outcomes of consultations with employees, other stakeholders etc. 	Retain minimum of 2 years after action completed, then destroy

1.8.0 Project Management

The activities associated with the management of curriculum and syllabus review and development.

1.8.1	Final versions and recommendations of externally-funded projects associated with curriculum and syllabus review and development, such as projects to assist schools in implementing the syllabus or projects to develop performance standards based on the curriculum.	Required as State archives
1.8.2	Records relating to the management of projects associated with curriculum or syllabus development and review. Records include:	Retain minimum of 7 years after action

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

CURRICULUM DEVELOPMENT AND MAINTENANCE - Reporting

	<ul style="list-style-type: none"> • proposal • project plan/schedule • research and background material • interviews, surveys and consultations • analysis of information. 	completed, then destroy
--	--	-------------------------

1.9.0 Reporting

The process associated with initiating or providing a formal response to a situation or request and to provide formal statements or findings of the results of the examination or investigation.

1.9.1	Records relating to periodic or routine internal reports concerning the development and review of the curriculum or associated syllabuses. Includes yearly syllabus evaluation reports and statistical reports. Records include final versions and development records.	Retain minimum of 5 years after last action, then destroy
-------	---	---

1.10.0 Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc. Includes literature reviews.

1.10.1	Records relating to the conduct of research to aid in the development and implementation of curriculum or associated syllabuses. Records include: <ul style="list-style-type: none"> • literature searches • questionnaires • surveys • consultations. 	Retain minimum of 5 years after last action, then destroy
--------	--	---

1.11.0 Syllabus Development and Review

The activities associated with the development, endorsement and review of the syllabus.

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

CURRICULUM DEVELOPMENT AND MAINTENANCE - Syllabus Development and Review

1.11.1	<p>Final reports relating to the development, review and endorsement of the syllabus. Includes final evaluation reports and broad directions for syllabus revision or development. Includes endorsed, published versions of the:</p> <ul style="list-style-type: none"> • writing briefs • syllabus packages • consultation reports. 	Required as State archives
1.11.2	<p>Records relating to the evaluation of the current syllabus and planning for the revision or development of the syllabus. Includes development of the project plan and broad directions for syllabus revision or development, and submission of documents for recommendation and endorsement. Records include:</p> <ul style="list-style-type: none"> • consultations and liaison with stakeholders, including curriculum committees • surveys of stakeholders • research and analysis • major evaluation report drafts • comments. 	Retain minimum of 2 years after syllabus is superseded, then destroy
1.11.3	<p>Records relating to the preparation, submission, and endorsement of the writing briefs, consultation reports and syllabus packages. Includes the publication and distribution of the syllabus packages. Records include:</p> <ul style="list-style-type: none"> • literature reviews • consultation with stakeholders including the Board and curriculum committees • summaries of consultations and comments • reports • surveys • drafts • recommendations 	Retain minimum of 2 years after syllabus is superseded, then destroy

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

CURRICULUM DEVELOPMENT AND MAINTENANCE - Syllabus Implementation

	<ul style="list-style-type: none"> • approval/endorsement • distribution lists. 	
--	---	--

1.12.0 Syllabus Implementation

The activities associated with monitoring the implementation of the syllabus by schools through the collection of data on the use of the syllabus to ascertain whether the intentions of the syllabus are being achieved.

1.12.1	Records relating to the collection, collation and analysis of data on the use of the syllabus. Records include: <ul style="list-style-type: none"> • questionnaires and surveys • comments received • analysis reports. 	Retain minimum of 5 years after last action, then destroy
--------	--	---

1.13.0 Syllabus Performance Bands

The activities associated with the setting of standards for assessing student achievement in the Higher School Certificate, and reporting on achievements.

1.13.1	Records relating to the setting and reporting on performance bands in examinations. Records include: <ul style="list-style-type: none"> • descriptions of the performance bands and how they are set • key statistical reports such as student performance in an examination • samples of responses typically produced by students whose achievements place them on the borderline between two bands • 'exemplar' student responses, which are examples of responses that were awarded full marks. 	Required as State archives
--------	--	----------------------------

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

EXAMINATION DEVELOPMENT AND CONDUCT - Advice

2.0.0 EXAMINATION DEVELOPMENT AND CONDUCT

The function of developing and conducting examinations such as the Higher School Certificate and School Certificate. Includes the development of examination papers, the arrangements for examinations, the distribution and storage of examination papers and the supervision of the examinations.

See **EXAMINATION MARKING** for the marking of tests/exams.

See General Retention and Disposal Authority *Administrative records* **COMMITTEES** for records of committees established to develop examinations and adjudicate on alleged breaches of examination rules and procedures.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Addresses** for the giving of addresses relating to examination conduct and development for professional or community relations purposes.

See General Retention and Disposal Authority *Administrative records* **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See General Retention and Disposal Authority *Administrative records* **PROPERTY MANAGEMENT - Security** for breaches of security at premises being used by the agency for the development or storage of examinations.

See General Retention and Disposal Authority *Administrative records* **PUBLICATION - Production** for the printing or production of examination papers.

See General Retention and Disposal Authority *Administrative records* **STAFF DEVELOPMENT** for the training of committee members, examination presiding officers and supervisors.

See General Retention and Disposal Authority *Administrative records* **TENDERING** for records relating to receiving and assessing tenders associated with examination development and conduct, such as security services.

See General Retention and Disposal Authority *Personnel records* **PERSONNEL - Recruitment** for the recruitment of Chief Examiner, Presiding Officers and other officials.

2.1.0 Advice

The activities associated with offering and receiving opinions and advice relating to the development and conduct of examinations.

2.1.1	Records relating to the provision of advice to the portfolio Minister or the Board concerning substantive aspects of the development and conduct of examinations which impact on policy or set	Required as State archives
-------	--	----------------------------

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

EXAMINATION DEVELOPMENT AND CONDUCT - Advice

	precedents, for example introduction of major examination reforms. Records include briefing notes.	
2.1.2	Records relating to the receipt and provision of routine advice relating to the development and conduct of examinations, for example, examination timetables. Records include requests and responses.	Retain minimum of 2 years after action completed, then destroy
2.1.3	Records relating to the drafting and development of brochures, flyers, fact sheets and other information publications relating to the development and conduct 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

2.2.0 Appeals

The activities associated with managing appeals against a decision relating to the conduct of an examination.

2.2.1	Records relating to appeals for internal review or to a higher authority against a decision made by the organisation, associated with the conduct of examinations, such as appeals against the agency not granting special examination provisions and non-serious attempts. Records include: <ul style="list-style-type: none"> • applications and/or notifications of appeals • proceedings • correspondence relating to appeal • supporting documents • determinations. 	Retain minimum of 7 years after last action, then destroy
-------	--	---

2.3.0 Arrangements

The activities involved in arranging for the conduct of examinations. Includes arrangements made for security, storage and delivery of blank test papers, equipment and goods, and booking venues.

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

EXAMINATION DEVELOPMENT AND CONDUCT - Arrangements

2.3.1	Final versions of examination timetables.	Retain in agency
2.3.2	<p>Records relating to administrative arrangements for the conduct of examinations, including the storage, packing and movement of examination packs and papers prior to the marking process. Records include:</p> <ul style="list-style-type: none"> • venue bookings (e.g. examination and security centres) • schedules • advertisements • media liaison • security arrangements • notices • distribution lists • storage and tracking of examination packs • delivery instructions • set up instructions • pack, check and tracking lists • delivery dockets. 	Retain minimum of 2 years after last action, then destroy

2.4.0 Enquiries

The activities associated with the handling of requests for information about the development and conduct of examinations.

2.4.1	Records relating to the management of routine enquiries regarding the development or conduct of examinations, for example examination timetables. Records include enquiry or telephone logs.	Retain minimum of 2 years after last action, then destroy
-------	--	---

2.5.0 Examination Development

The activities associated with the development of examinations, tests and marking guidelines.

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

EXAMINATION DEVELOPMENT AND CONDUCT - Examination Development

2.5.1	Master set of final approved examination papers, marking guidelines and mapping grids for each examination and test.	Required as State archives
2.5.2	Records relating to the development of examination papers and marking guidelines. Records include: <ul style="list-style-type: none"> • drafts of examination questions • assessor and reviewer comments • examination blueprints • production forms • assessment reports. 	Retain minimum of 2 years after last action, then destroy

2.6.0 Examination Supervision

The activities associated with the supervision of students undertaking examinations and tests.

2.6.1	Records relating to the conduct of examinations recorded by presiding officers and supervisors. Records include: <ul style="list-style-type: none"> • attendance sheets • diaries • summary reports. 	Retain minimum of 6 months after notification of results, then destroy
-------	---	--

2.7.0 Malpractice

The activities associated with the reporting and investigation of malpractice or dishonest behaviour during examinations.

See **EXAMINATION MARKING - Malpractice** for malpractice identified during the marking of examinations, such as plagiarism.

2.7.1	Records relating to reporting and investigation into cases of malpractice, such as breach of examination rules or cheating during examinations. Records include: <ul style="list-style-type: none"> • reports concerning alleged breaches 	Retain minimum of 5 years after last action, then destroy
-------	--	---

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

EXAMINATION DEVELOPMENT AND CONDUCT - Planning

	<ul style="list-style-type: none"> • supporting documentations, such as seating plans and notes • interviews • responses and statements • correspondence relating to breaches and investigations • determinations. 	
--	---	--

2.8.0 Planning

The process of formulating ways in which objectives can be achieved.

2.8.1	Records relating to planning for the development and conduct of examinations. Records include: <ul style="list-style-type: none"> • draft versions of plans containing significant changes/alterations or formally circulated for comment • background research, notes of meetings or reports of liaison and consultation with stakeholders • final, approved versions of plans or examination development schedules. 	Retain minimum of 5 years after plan is superseded, then destroy
-------	--	--

2.9.0 Policy

The activities associated with developing and establishing policies relating to the development and conduct of examinations.

2.9.1	Records relating to the development and establishment of policies for the development and conduct of examinations. Records include: <ul style="list-style-type: none"> • policy proposals • background research • records of consultations 	Required as State archives
-------	---	----------------------------

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

EXAMINATION DEVELOPMENT AND CONDUCT - Procedures

	<ul style="list-style-type: none"> • draft versions of policies containing significant changes/alterations or formally circulated for comment • reports analysing issues • final approved policy. 	
--	--	--

2.10.0 Procedures

Standard methods of operating laid down by an agency according to formulated policies.

2.10.1	Records relating to the development and review of procedures for the development and conduct of examinations. Records include: <ul style="list-style-type: none"> • background research • analysis of issues, comments and feedback • final, approved versions of manuals, handbooks, guidelines etc. 	Retain minimum of 1 year after superseded, then destroy
--------	--	---

2.11.0 Project Management

The activities associated with the management of projects relating to the development and conduct of examinations.

2.11.1	Final versions and recommendations of externally-funded projects associated with the development and conduct of examinations, such as projects addressing the special examination needs of students.	Required as State archives
2.11.2	Records relating to the management of projects associated with the development and conduct of examinations. Records include: <ul style="list-style-type: none"> • proposal • project plan/schedule • research and background material • interviews, surveys and consultations • analysis of information. 	

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

EXAMINATION DEVELOPMENT AND CONDUCT - Reporting

2.12.0 Reporting

The activities associated with developing reports relating to the development and conduct of examinations.

2.12.1	<p>Records relating to significant reports to the Minister or Board that have a major impact on the development or conduct of examinations, such as incidents causing delays to examinations or theft of examination papers. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of reports containing significant changes/ alterations or formally circulated for comment • final approved versions of reports. 	Required as State archives
2.12.2	<p>Records relating to routine reports that have no significant impact on the development or conduct of examinations, and routine internal reports used to monitor and document recurring activities, such as the number of examinations or number of students attempting examinations. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 5 years after last action, then destroy

2.13.0 Special Examination Provisions

The activity of managing applications for special examination provisions, for example, large print examination papers.

See **EXAMINATION DEVELOPMENT AND CONDUCT - Appeals** for appeals against denial of special examination provisions.

2.13.1	<p>Records relating to applications for special examination provisions. Includes approved and denied applications. Records include:</p> <ul style="list-style-type: none"> • application 	Retain minimum of 7 years after last action, then destroy
--------	---	---

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

EXAMINATION DEVELOPMENT AND CONDUCT - Special Examination Provisions

	<ul style="list-style-type: none">• supporting documents (e.g. medical certificates)• school results• determination• notifications• correspondence between relevant parties.	
--	--	--

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

EXAMINATION DEVELOPMENT AND CONDUCT - Special Examination Provisions

3.0.0 EXAMINATION MARKING

The function of marking examinations, such as those for the Higher School Certificate and School Certificate.

Includes developing marking schemes from marking guidelines, monitoring progress of marking through quality assurance techniques, recording marks and grades, moderating school assessment marks, aligning examination marks to the performance bands, monitoring School Certificate grades, reporting marks and grades to students and schools, and managing appeals relating to assessment ranks, reported marks and illness/misadventure matters.

See **EXAMINATION DEVELOPMENT AND CONDUCT** for the development and conduct of exams.

See **STUDENT CREDENTIALLING - Results Release** for the master record of student results.

See General Retention and Disposal Authority *Administrative records* **COMMITTEES** for records of committees such as the Higher School Certificate Consultative Committee or Examination Rules Committee established to examine, approve or monitor examination marking operations or issues, such as monitoring standards-setting or approval of band cut-off marks for each course.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Addresses** for the giving of addresses relating to the marking of examinations, for professional or community relations purposes.

See General Retention and Disposal Authority *Administrative records* **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process, such as security guards for marking centres.

See General Retention and Disposal Authority *Administrative records* **PROPERTY MANAGEMENT - Security** for breaches of security at premises being used by the agency for examination marking.

See General Retention and Disposal Authority *Administrative records* **STAFF DEVELOPMENT** for the training of markers, judges and other marking staff.

See General Retention and Disposal Authority *Administrative records* **TENDERING** for records relating to receiving and assessing tenders associated with examination marking, such as catering services at marking centres.

See General Retention and Disposal Authority *Personnel records* for the employment of personnel to participate in the marking process.

3.1.0 Advice

The activities associated with offering and receiving opinions and advice relating to the marking of examinations.

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

EXAMINATION MARKING - Advice

See **EXAMINATION DEVELOPMENT AND CONDUCT - Examination Development** for marking guidelines.

3.1.1	Records relating to the provision of significant advice to the Minister or the Board, such as detailed and high level advice on proposed major changes to policy associated with examination marking. Records include briefing notes.	Required as State archives
3.1.2	Records relating to the provision or receipt of routine advice to and/or from students, schools, parents, teachers, markers, examiners etc. regarding operational aspects of marking examinations. Records include requests and responses.	Retain minimum of 2 years after action completed, then destroy
3.1.3	Records relating to the drafting and development of brochures, flyers, fact sheets and other information publications relating to marking 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

3.2.0 Appeals

The activities associated with managing appeals against a decision relating to the marking of examinations.

3.2.1	Records relating to appeals for internal review or to an external authority, regarding the marking of examinations, that set precedents, result in major changes to policy or procedures, or where the Board has requested a committee be established to review a decision. Includes group appeals submitted by school principals and appeals regarding illness/misadventure, non-certification of practical work and assessment ranks. Records include: <ul style="list-style-type: none"> • notification of appeal • copies of proceedings and notifications of decisions • correspondence with appeal stakeholders 	Required as State archives
-------	--	----------------------------

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

EXAMINATION MARKING - Appeals

	<ul style="list-style-type: none"> • supporting documents (e.g. medical certificates). 	
3.2.2	<p>Records relating to appeals for internal review or to an external authority regarding the marking of examinations that do not set a precedent and do not result in major changes to policy or procedures. Includes group appeals submitted by school principals and appeals regarding illness/misadventure, non-certification of practical work and assessment ranks. Records include:</p> <ul style="list-style-type: none"> • notification of appeal • copies of proceedings and notifications of decisions • correspondence with appeal stakeholders • supporting documents (e.g. medical certificates). 	Retain minimum of 2 years after last action, then destroy

3.3.0 Arrangements

The activities associated with planning and arranging for the marking of examinations and assessment tasks. Includes the storage and movement of examination papers, venue bookings, organising and managing deliveries of furniture, equipment etc.

3.3.1	<p>Records relating to administrative arrangements for marking examinations and assessment tasks. Records include:</p> <ul style="list-style-type: none"> • venue bookings (e.g. marking and security centres) • schedules • advertisements • media liaison • security arrangements • notices • distribution lists • storage and tracking of examination scripts 	Retain minimum of 2 years after last action, then destroy
-------	--	---

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

EXAMINATION MARKING - Arrangements

	<ul style="list-style-type: none"> • delivery instructions • set up instructions. <p>Note: includes marking plans, ExamWriter responses, changes to mark sheets specifications, scanning plans, rosters.</p>	
3.3.2	Records relating to the logistical planning of examination marking events. Records include planning and marking schedules.	Retain minimum of 1 year after event, then destroy
3.3.3	Records relating to the storage, packing and movement of examination papers during the marking process. Records include: <ul style="list-style-type: none"> • check lists • tracking lists • delivery dockets. 	Retain until ceases to be of administrative or reference use, then destroy

3.4.0 Certification

The activities associated with certifying that the work submitted for a practical examination is the student's work.

3.4.1	Records relating to the receipt of certifications from teachers that work submitted is the students'. Records include certification forms.	Retain minimum of 6 months after results released, then destroy
-------	--	---

3.5.0 Complaints

The activities associated with the handling of complaints regarding examination marking.

See **EXAMINATION MARKING - Appeals** for complaints that result in an appeal being lodged.

3.5.1	Records documenting the management of complaints relating to the marking of examinations that do not result in further action or an appeal. Records include complaints and responses.	Retain minimum of 2 years after last action, then destroy
-------	---	---

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

EXAMINATION MARKING - Enquiries

3.6.0 Enquiries

The activities associated with the handling of requests for information about marking examinations.

3.6.1	Records relating to the management of routine enquiries associated with marking examinations. Records include enquiry or telephone logs.	Retain minimum of 2 years after last action, then destroy
-------	--	---

3.7.0 Malpractice

The activities associated with the reporting and investigation of malpractices (e.g. plagiarism) identified during marking of examinations.

See **EXAMINATION DEVELOPMENT AND CONDUCT - Malpractice** for records relating to malpractice such as breach of examination rules or cheating during the conduct of examinations.

3.7.1	Records relating to the reporting and investigation into cases of malpractice, such as plagiarism identified during marking of examinations, or where a serious attempt has not been made to complete the examination. Records include: <ul style="list-style-type: none">• reports concerning alleged breaches or incidents• malpractice forms• supporting documentation• interviews• responses and statements• correspondence relating to breaches and investigations• determinations.	Retain minimum of 5 years after last action, then destroy
-------	--	---

3.8.0 Marks Adjustment

The activities associated with the examination and assessment of marks including optional question scaling, standards setting and assessment moderation.

3.8.1	Final approved versions of cut-off marks and bands for each yearly examination paper.	Required as State archives
-------	---	----------------------------

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

EXAMINATION MARKING - Marks Adjustment

3.8.2	<p>Records relating to the facilitation of the standard setting process for each specific examination. Records include:</p> <ul style="list-style-type: none"> • judges' worksheets • judges' notes • benchmark and borderline recording sheets • discussion notes • draft determinations • copies of judges' reports and recommendations. 	Retain minimum of 6 months after examination event, then destroy
3.8.3	<p>Records relating to school assessment marks. Record include:</p> <ul style="list-style-type: none"> • raw assessment marks from schools • calculations • copies of revised assessment marks. 	Retain minimum of 6 months after reporting event, then destroy

3.9.0 Marks Capture

The activities related to the capture of examination marks and requests for checking marks.

3.9.1	<p>Records relating to the capture of students' examination marks. Records include:</p> <ul style="list-style-type: none"> • copies of mark sheet specifications • mark sheets or worksheets • tally sheets • examination scripts containing student responses to questions relating to examinations • requests for clerical rechecks/reviews. 	Retain minimum of 6 months after release of results, then destroy
3.9.2	<p>Records relating to the querying of results that are inconsistent with a student's history that result in a formal process, also known as an anomaly result enquiry. Records include:</p>	Retain minimum of 5 years after last action, then destroy

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

EXAMINATION MARKING - Policy

	<ul style="list-style-type: none"> • requests from school principals, parents or students • records of rechecking marks • records of investigation • response • recommendations. 	
--	---	--

3.10.0 Policy

The activities associated with developing and establishing policies relating to the marking of examinations.

3.10.1	Records relating to the development and establishment of policies relating to the marking of examinations, such as the policy on setting standards for the School Certificate and Higher School Certificate. Records include: <ul style="list-style-type: none"> • policy proposals • background research • records of consultations • draft versions of policies containing significant changes/alterations or formally circulated for comment. • reports analysing issues • final approved policy. 	Required as State archives
--------	--	----------------------------

3.11.0 Procedures

Standard methods of operating laid down by an agency according to formulated policies.

3.11.1	Records relating to the development and review of procedures relating to marking examinations. Records include: <ul style="list-style-type: none"> • background research • drafts 	Retain minimum of 3 years after superseded, then destroy
--------	---	--

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

EXAMINATION MARKING - Project Management

	<ul style="list-style-type: none"> • reports analysing issues and the outcomes of consultations with stakeholders • final, approved versions of manuals, handbooks, guidelines etc. detailing the agency's procedures relating to marking examinations. 	
--	---	--

3.12.0 Project Management

The activities associated with the management of projects relating to marking examinations.

3.12.1	Final versions and recommendations of externally-funded projects associated with the marking of examinations. Includes new approaches to marking such as the introduction of on-screen marking.	Required as State archives
3.12.2	Records relating to the management of projects concerning the marking of examinations. Records include: <ul style="list-style-type: none"> • proposal • project plan/schedule • research and background material • interviews, surveys and consultations • analysis of information. 	Retain minimum of 7 years after last action, then destroy

3.13.0 Quality Assurance

The activities associated with the systematic monitoring and evaluation of marking processes and awarded marks to ensure that standards of validity, appropriate discrimination and reliability are being met.

3.13.1	Records relating to ensuring consistent interpretation of the marking guidelines. Records include: <ul style="list-style-type: none"> • marking schemes • records related to benchmark scripts. 	Retain minimum of 6 months after examination event, then destroy
3.13.2	Records relating to monitoring the marking process to ensure markers are marking reliably. Records include:	Retain minimum of 6 months after

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

EXAMINATION MARKING - Reporting

	<ul style="list-style-type: none"> • tally sheets • records related to control scripts • marker reliability statistics reports. 	examination event, then destroy
--	--	---------------------------------

3.14.0 Reporting

The process associated with initiating or providing a formal response to a situation or request and to provide formal statements or findings of the results of the examination or investigation.

3.14.1	Final versions of analytical and statistical reports provided to the Minister, the Board and the government on the conduct of the examination marking process, for example on major initiatives that have been implemented.	Required as State archives
3.14.2	Final versions of internal statistical reports on the conduct of the examination marking process.	Retain minimum of 2 years after last action, then destroy
3.14.3	Records relating to the development and review of reports on the conduct of the examination marking process. Records include: <ul style="list-style-type: none"> • background information • records relating to consultations with stakeholders • drafts. 	Retain until administrative use ceases, then destroy

3.15.0 Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc.

3.15.1	Records relating to the conduct of significant research projects concerning examination marking which impact on policy or procedures, or create intense public or media interest. Records include: <ul style="list-style-type: none"> • establishment of review project • final report 	Required as State archives
--------	--	----------------------------

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

EXAMINATION MARKING - Research

	<ul style="list-style-type: none"> • recommendations. 	
3.15.2	<p>Records relating to the conduct of research projects concerning examination marking which do not impact on policy or procedures or create intense public or media interest. Records include:</p> <ul style="list-style-type: none"> • project brief • literature search • questionnaires • surveys • consultations • final report. 	Retain minimum of 5 years after last action, then destroy
3.15.3	<p>Records relating to the conduct of surveys used for the preparation of marking schedules and for logistical arrangements. Records include:</p> <ul style="list-style-type: none"> • surveys • summary reports. 	Retain until ceases to be of administrative or reference use, then destroy

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

REGULATION - Advice

4.0.0 REGULATION

The function of registering and accrediting individual non-government schools to operate and/or nominate candidates for the award of School Certificates and/or Higher School Certificates, registration for home schooling and the recognition of schools outside the state to submit applicants for the School Certificate or Higher School Certificate examinations.

See General Retention and Disposal Authority *Administrative records* **COMMITTEES** for records of committees established to monitor compliance of non-government schools or home schooling.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Addresses** for the giving of addresses relating to school registration, accreditation or home schooling for professional or community relations purposes.

4.1.0 Advice

The activities associated with offering and receiving opinions and advice.

4.1.1	Records relating to the provision of detailed or high level advice to the Minister or the Board on proposed major changes to policy, and/or controversial matters that impact on policy or set precedents.	Required as State archives
4.1.2	Records relating to the receipt and provision of routine advice.	Retain minimum of 5 years after last action, then destroy
4.1.3	Records relating to the drafting and development of brochures, flyers, fact sheets and other information publications.	Retain until superseded or until ceases to be of administrative or reference use, then destroy

4.2.0 Appeals

The activities involved in the appeal against decisions by application to the agency or a higher authority.

4.2.1	Records relating to appeals that set a precedent or result in major changes to policy or procedures. Records include: <ul style="list-style-type: none"> • notification of appeal 	Required as State archives
-------	---	----------------------------

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

REGULATION - Appeals

	<ul style="list-style-type: none"> • copies of proceedings • notifications of decisions • correspondence with stakeholders regarding appeal process. 	
4.2.2	Records relating to appeals that do not set a precedent and do not result in major changes to policy or procedures. This includes refusals to renew, cancellation, or reduction in duration of registration/accreditation.	Retain minimum of 7 years after last action, then destroy

4.3.0 Application Review

The activity of assessing applications for:

- non-government schools to be registered (i.e. permitted to operate) and/or accredited for the purpose of presenting candidates for the awards provided in legislation such as the Education Act 1990, including the Record of School Achievement and Higher School Certificate
- approval to operate as a teacher accreditation authority for a non-government school or early childhood education centre and make decisions at proficient teacher level
- approval as a school provider of courses for students from overseas
- registration of children for home schooling
- recognition of schools from outside NSW to enter candidates for the awards such as the Record of School Achievement and Higher School Certificate
- approval of providers of governance training and certifiers of financial viability for non-government schools.

Includes consideration of conscientious objections to registration where exemptions to registration could be an issue.

4.3.1	Summary records of: <ul style="list-style-type: none"> • non-government schools and non-government schooling systems • teacher accreditation authorities • school providers of courses to overseas students • overseas schools with recognition 	Required as State archives
-------	---	----------------------------

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

REGULATION - Application Review

	<ul style="list-style-type: none"> • children registered for home schooling. <p>Records include:</p> <ul style="list-style-type: none"> • school identification number • name, address and level of school (primary or high) • date of registration / accreditation / approval / exemption • proprietor/home educator details. 	
4.3.2	<p>Records relating to successful and unsuccessful applications for registration or exemption from registration and/or accreditation of non-government schools. Records include:</p> <ul style="list-style-type: none"> • registration and accreditation applications • inspection reports • correspondence between agency and schools regarding registration or accreditation • teacher details and qualification checks • copy of signed and approved registration or accreditation certificate. 	Required as State archives
4.3.3	<p>Records relating to withdrawn applications for registration and/or accreditation of non-government schools.</p>	Retain minimum of 10 years after action completed, then destroy
4.3.4	<p>Superseded see 4.3.2</p>	
4.3.5	<p>Records relating to applications for approval to operate as a non-government school system. Includes successful and unsuccessful applications. Records include:</p> <ul style="list-style-type: none"> • application for approval • supporting documentation • copies of letters from minister. 	Required as State archives

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

REGULATION - Application Review

4.3.6	Superseded see 4.3.3	
4.3.7	Records relating to successful and unsuccessful applications for home schooling registration, or exemption from home schooling registration.	Retain minimum of 30 years after student's date of birth, then destroy
4.3.8	Records relating to successful and unsuccessful requests to complete the equivalent of Year 10 at TAFE or an approved provider of alternative education.	Retain minimum of 30 years after student's date of birth, then destroy
4.3.9	Records related to successful and unsuccessful applications for: <ul style="list-style-type: none"> • approval as a teacher accreditation authority for non-government schools or early childhood education centres to make decisions at proficient teacher level • approval to provide courses to overseas students • recognition to enter candidates for the awards provided in the Education Act such as the Record of School Achievement and Higher School Certificate for a school outside of NSW. Includes withdrawn applications.	Retain minimum of 30 years after expiry or termination of approval, or after action completed, then destroy
4.3.10	Records relating to the approval of providers of governance training and certifiers of financial viability for non-government schools.	Retain minimum of 10 years after action completed, then destroy

4.4.0 Complaints

The activities associated with the handling of complaints.

See **REGISTRATION - Application Review** for home schooling case files containing complaints regarding home educators.

4.4.1	Records documenting the management of complaints.	Retain minimum of 7 years after last action, then destroy
-------	---	---

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

REGULATION - Enquiries

4.5.0 Enquiries

The activities associated with the handling of requests for information.

4.5.1	Records relating to the management of enquiries.	Retain minimum of 2 years after last action, then destroy
-------	--	---

4.6.0 Monitoring

The activities associated with monitoring.

4.6.1	Records relating to monitoring.	Retain minimum of 11 years after action completed, then destroy
-------	---------------------------------	---

4.7.0 Policy

The activities associated with developing and establishing policies to direct decision making and determine operating procedures.

4.7.1	Records relating to the development and review of policies relating to non-government school registration and accreditation, and home schooling. 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 versions of policies.	Required as State archives
-------	---	----------------------------

4.8.0 Procedures

Standard methods of operating laid down by an agency according to formulated policies.

4.8.1	Records relating to the development and review of procedures for non-government school registration,	Retain minimum of 5 years after
-------	--	---------------------------------

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

REGULATION - Procedures

	accreditation, home schooling registration, teacher accreditation authorities, providers of courses for students from overseas and schools outside of NSW.	procedures are superseded, then destroy
--	--	---

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

STUDENT CREDENTIALLING - Advice

5.0.0 STUDENT CREDENTIALLING

The function of enrolling students for the Higher School Certificate and School Certificate credentials and the awarding of these credentials. Includes the promulgation of results, appeals regarding non completion of course, and the issue of merit lists. Also includes the management and issue of vocational education training credentials.

See **EXAMINATION MARKING** for the capture and adjustment of assessment marks.

See General Retention and Disposal Authority *Administrative records* **COMMITTEES** for consultative committees involved in the credentialing process.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Addresses** for the giving of addresses relating to the enrolment of students for examinations and credentials for professional or community relations purposes.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Conferences** for conferences and forums held by the agency or attended by personnel.

5.1.0 Advice

The activities associated with offering and receiving opinions and advice relating to the enrolment of students for examinations and awarding of credentials.

5.1.1	Records relating to the provision of detailed or high level advice to the Minister or Board, on proposed major changes to policy or on matters or issues associated with the enrolment of students for examinations and awarding of credentials. Records include briefing notes.	Required as State archives
5.1.2	Records relating to the receipt and provision of routine advice associated with the enrolment of students for examinations and awarding of credentials. Records include requests for advice and responses.	Retain minimum of 2 years after action completed, then destroy
5.1.3	Records relating to the drafting and development of brochures, flyers, fact sheets and other information publications relating to the enrolment of students for examinations and awarding of credentials. 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

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

STUDENT CREDENTIALLING - Appeals

5.2.0 Appeals

The activities of managing appeals against decisions by application to the agency or a higher authority.

5.2.1	Records relating to appeals for internal review or to an external authority relating to the enrolment of students for examinations and awarding of credentials, for example appeals regarding enrolment eligibility rules and appeals against non-completion of course requirements. Records include: <ul style="list-style-type: none">• notifications of appeals• copies of proceedings and notifications of decisions• correspondence with appeal stakeholders.	Retain minimum of 7 years after last action, then destroy
-------	--	---

5.3.0 Authorisation

The process of seeking and granting permission for students to be exempt from courses of study.

5.3.1	Records relating to the receipt and assessment of applications submitted by schools for students to be exempt from courses of study. Records include: <ul style="list-style-type: none">• applications• assessments• notice of authorisation or refusal.	Retain minimum of 5 years after student has completed their HSC year, then destroy
-------	--	--

5.4.0 Awards Issue

The activities associated with awarding certificates to students who have completed the requirements for credentials. Includes managing requests for replacement and copies of credentials and records of achievement.

5.4.1	Master record of certificates awarded to students, including Intermediate, Leaving, School, Preliminary and Higher School Certificates.	Required as State archives
-------	---	----------------------------

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

STUDENT CREDENTIALLING - Awards Issue

5.4.2	Records relating to requests for replacement of Certificates and for copies of vocational education training credentials and records of achievement. Records include applications and correspondence relating to issue of replacement documents.	Retain minimum of 5 years after last action, then destroy
-------	--	---

5.5.0 Complaints

The activities associated with the process of handling complaints regarding the enrolment of students for examinations and awarding of credentials.

5.5.1	Records documenting the management of complaints relating to credentials and student enrolments for examinations. Records include: <ul style="list-style-type: none"> • complaints and responses • inspectors' reports. 	Retain minimum of 2 years after last action, then destroy
-------	---	---

5.6.0 Educational equivalence

The activities associated with the assessment of outside qualifications.

5.6.1	Records relating to the management of requests for assessment of interstate and overseas secondary qualifications for employment purposes. Records include: <ul style="list-style-type: none"> • applications • correspondence • determination. 	Retain minimum of 7 years after last action, then destroy
-------	--	---

5.7.0 Enquiries

The activities associated with the handling of requests for information about the enrolment of students for examinations and awarding of credentials.

5.7.1	Records relating to the management of enquiries about the enrolment of students for examinations and awarding of credentials, such as enquiries about eligibility or examination results. Records include enquiry or telephone logs and summaries of responses.	Retain minimum of 2 years after last action, then destroy
-------	---	---

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

STUDENT CREDENTIALLING - Enrolment

5.8.0 Enrolment

The activities associated with recording details of students eligible for credentials. Includes details of student's courses of study and school.

5.8.1	Summary records of students enrolled for examinations. Records include names of students and examinations.	Required as State archives
5.8.2	Records relating to the receipt and processing of forms from schools and students enrolling for examinations, such as School Certificate and Higher School Certificate. Records include: <ul style="list-style-type: none"> • enrolment forms • confirmation of entry cover sheets • amendments, such as change of personal details. 	Retain minimum of 1 year after credentials are issued, then destroy

5.9.0 Planning

The process of formulating ways in which objectives can be achieved.

5.9.1	Records relating to the development and review of the agency's plans for the administration of examination enrolments or awarding of credentials. Records include: <ul style="list-style-type: none"> • background research • drafts • notes of meetings or reports analysing issues and the outcomes of consultation with stakeholders • final, approved versions of plans. 	Retain minimum of 2 years after last action, then destroy
-------	--	---

5.10.0 Policy

The activities associated with developing and establishing decisions and directions which act as a reference for future decision making.

5.10.1	Records relating to the development and review of internal operational policies relating to the enrolment	Retain minimum of 3 years after policy
--------	---	--

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

STUDENT CREDENTIALLING - Policy

	<p>of students and awarding of credentials. Records include:</p> <ul style="list-style-type: none"> • policy proposals • records of consultations • drafts • reports analysing issues • final, approved versions of policies. 	is superseded, then destroy
--	--	-----------------------------

5.11.0 Procedures

Standard methods of operating laid down by an agency according to formulated policies.

5.11.1	<p>Records relating to the development and review of procedures for the enrolment of students for examinations and awarding of credentials. Records include:</p> <ul style="list-style-type: none"> • background research • notes of meetings or reports on the outcomes of liaison and consultation with stakeholders • circulated drafts and final, approved versions of manuals, handbooks, guidelines etc. 	Retain minimum of 3 years after procedures are superseded, then destroy
--------	---	---

5.12.0 Project Management

The activities associated with the management of projects relating to the enrolment of students and awarding of credentials.

5.12.1	Final versions and recommendations of externally-funded projects associated with the enrolment of students for examinations and awarding of credentials.	Required as State archives
5.12.2	<p>Records relating to the management of projects associated with the enrolment of students for examinations and awarding of credentials, such as projects identifying issues in the credentialing processes. Records include:</p> <ul style="list-style-type: none"> • proposal 	Retain minimum of 7 years after action completed, then destroy

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

STUDENT CREDENTIALLING - Reporting

	<ul style="list-style-type: none"> • project plan/schedule • research and background material • interviews, surveys and consultations • analysis of information. 	
--	--	--

5.13.0 Reporting

The activities associated with developing reports relating to the enrolment of students for examinations and awarding of credentials.

5.13.1	Final versions of statistical and analytical reports provided to the Minister, the Board and the government on student enrolments, examination results and awards.	Required as State archives
5.13.2	Records relating to the development and review of reports on student enrolments, examination results and awards. Records include: <ul style="list-style-type: none"> • background information • drafts. 	Retain until administrative use ceases, then destroy

5.14.0 Results Release

The activities associated with the release of examination results, including merit lists. Includes providing security access to results.

5.14.1	Master record of student achievements in examinations and assessments, such as the School Certificate and Higher School Certificate, and student education attainments. Includes final versions of published merit lists which identify the yearly top Higher School Certificate candidates.	Required as State archives
5.14.2	Master record of vocational education training credentials.	Retain minimum of 30 years after entry, then destroy
5.14.3	Records relating to requests to withhold student information from merit lists, which identify the yearly top Higher School Certificate candidates. Records	Retain minimum of 3 years after last action, then destroy

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

STUDENT CREDENTIALLING - Results Release

	includes requests and correspondence relating to withholding.	
5.14.4	Administrative records relating to the release of student results, including provision of security access to results. Records include correspondence regarding results and lost access codes.	Retain minimum of 1 year after last action, then destroy

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

STUDENT CREDENTIALLING - Results Release

6.0.0 QUALITY TEACHING

The function of accrediting teachers and initial teacher education programs, and supporting professional learning for beginning, returning and continuing teachers.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Addresses** for records relating to the giving of addresses relating to quality teaching.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Public reaction** for records relating to complaints about the organisation not related to an individual teacher, accreditation authority or provider.

See General Retention and Disposal Authority *Administrative records* **FINANCIAL MANAGEMENT** for records relating to budgets or spending reviews.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Reporting** for records relating to reports to government relating to quality teaching.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Representations** for records relating to correspondence received by the Minister (Ministerials) or Members of Parliament.

See General Retention and Disposal Authority *Administrative records* **PERSONNEL - Recruitment** for records relating to the filling of vacancies.

See General Retention and Disposal Authority *Administrative records* **STAFF DEVELOPMENT - Training** for records relating to training in procedures.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Meetings** for records relating to routine general and section or unit meetings of employees and administrative arrangements for meetings.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Planning** for records relating to the process of formulating ways in which objectives can be achieved, scheduling or other administration of routine activities.

See General Retention and Disposal Authority *Higher and further education* **RESEARCH** for records relating to research into teaching accreditation and standards.

See **REGULATION - Approvals** for records relating to approval of teacher accreditation authorities.

6.1.0 Advice

The activities associated with offering opinions by the organisation as to an action or judgement, and the handling of requests for information about the organisation and its services by the general public or another organisation. Includes the management of information sessions with stakeholders.

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

QUALITY TEACHING - Advice

See **QUALITY TEACHING - Teacher accreditation** for records relating to advice given to an individual teacher or teacher accreditation authority, and for enquiries from an individual teacher accreditation authority, or teacher, including allegations or cases of child sexual abuse.

See **QUALITY TEACHING - Teacher education** for records relating to advice and enquiries from an individual endorsed provider or provider of an accredited initial teacher education program, and enquiries from an individual endorsed provider or provider of an accredited initial teacher education program.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Customer service** for records relating to the management of bookings for events, programs or other activities held by the organisation.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Enquiries** for records relating to the handling of enquiries regarding routine information about the organisation and its services.

See General Retention and Disposal Authority *Administrative records* **GOVERNING AND CORPORATE BODIES - Meetings** for records relating to reporting to and the provision of advice to governing bodies.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Advice** for records relating to the provision of advice to the portfolio Minister or other government organisations concerning quality teaching.

6.1.1	Records relating to the provision of advice concerning substantive aspects of the organisation's policies and procedures, functions, obligations, legislation or liabilities relating to teaching standards where a detailed response has been provided.	Required as State archives
6.1.2	Records relating to the provision of operational advice about teacher accreditation and quality teaching. Includes: <ul style="list-style-type: none"> • the provision of advice to school inspectors not related to an individual teacher • the receipt of advice from universities about prospective students • information sessions with stakeholders about the obligations of accreditation or endorsement • handling of requests for information related to initial teacher education programs, teacher accreditation process or teacher status, teacher accreditation authorities, schools or endorsed 	Retain minimum of 7 years after action completed, then destroy

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

QUALITY TEACHING - Policy and procedures

	providers or their courses by other organisations or the public.	
--	--	--

6.2.0 Policy and procedures

The activities associated with developing and establishing policies and procedures to direct decision making and determine operating procedures.

6.2.1	<p>Records relating to the development and review of standards and policies for teaching, teacher accreditation and professional development. Includes:</p> <ul style="list-style-type: none"> • policy proposals • background research • summary reports of consultations • final approved versions. <p>Includes input into standards and policies developed by external bodies where a detailed response has been provided.</p>	Required as State archives
6.2.2	Records relating to the development and review of procedures and operational policies for teacher accreditation and professional development.	Retain minimum of 5 years after superseded, then destroy

6.3.0 Teacher accreditation

Activities relating to implementing and overseeing teacher accreditation processes against professional standards for teachers, accrediting NSW teachers and regulating teacher accreditation authorities who accredit at voluntary advanced levels.

See **REGULATION - Application review** for summary records of teacher accreditation authorities approved to accredit teachers at voluntary advanced levels e.g. highly accomplished and lead teacher.

6.3.1	Summary records of individuals accredited to teach. Includes name and details of accreditation.	Required as State archives
6.3.2	Records documenting action where a teacher's accreditation has been suspended or revoked including internal reviews of decisions to suspend or revoke teacher accreditation.	Required as State archives

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

QUALITY TEACHING - Teacher accreditation

6.3.3	<p>Records relating to the accreditation of individual teachers. Includes:</p> <ul style="list-style-type: none"> • applications and associated documents • accreditation assessments • committee determinations • revocation, suspension, cancellation and cessation of accreditation • investigation of complaints not related to allegations of child sexual abuse. • advice from other jurisdictions. <p>Includes successful and refused applications.</p>	<p>Retain minimum of 100 years after date of birth or minimum of 75 years after date of registration, whichever is longer, then destroy</p>
6.3.4	<p>Records relating to allegations of child sexual abuse against teachers that are not proven.</p>	<p>Retain minimum of 45 years after action completed, then destroy</p>
6.3.5	<p>Records relating to the operational management of teacher accreditation, for example, updates to personal details, application checklists, information sharing requests, criminal history checks.</p>	<p>Retain until administrative or reference use ceases, then destroy</p>
6.3.6	<p>Records related to the approval of teacher accreditation authorities to accredit teachers at voluntary advanced levels, such as highly accomplished and lead teacher levels, including outcomes of assessments, reviews or audits. Includes lapsed or withdrawn applications for accreditation</p>	<p>Retain minimum of 7 years after expiry or termination of approval, or after action completed, then destroy</p>

6.4.0 Teacher education

Activities associated with the maintenance, management and oversight of teacher education programs and professional development.

See General Retention and Disposal Authority *Administrative records* **COMMITTEES** for records relating to the management of initial teacher education accreditation committees.

See General Retention and Disposal Authority *Administrative records* **CONTRACTING-OUT** for records relating to the commissioning of professional development courses for teachers.

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

QUALITY TEACHING - Teacher education

6.4.1	Records documenting the final approval or accreditation of initial teacher education programs offered by higher education institutions. Includes the final copy of the program.	Required as State archives
6.4.2	Records relating to the accreditation of initial teacher education programs provided by tertiary education institutions. Includes: <ul style="list-style-type: none"> • pre-panel assessments • appointment of accreditation panel • accreditation panel report including draft accreditation report and advice to committee • outcomes of panel assessments • statement of accreditation • correspondence to provider regarding program accreditation. 	Retain minimum of 50 years after program no longer accredited, then destroy
6.4.3	Records relating to the endorsement of professional development providers, including the scope of endorsement, outcomes of audits or assessments, cancellation documents and commissioning agreements.	Retain minimum of 75 years after action completed, then destroy
6.4.4	Records relating to the management of endorsed providers of professional development. Records include: <ul style="list-style-type: none"> • applications for endorsement or renewal and supporting documentation • forms containing business, course or contact details • auditing activities • agreements where the organisation supports the delivery or development of courses. 	Retain minimum of 15 years after action completed, then destroy
6.4.5	Records related to the process of supporting the delivery or development of targeted professional development courses or sessions for teachers maintaining accreditation against standards such as the Australian Professional Standards in NSW. Includes:	Retain minimum of 15 years after action completed, then destroy

School curriculum, assessments, school regulation and teacher accreditation

Authority number: FA285

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

QUALITY TEACHING - Teacher education

	<ul style="list-style-type: none">• processes for determining professional development content in need of organisational support• investigation of professional development gaps• assessment of ways the organisation can support development or delivery of professional development• agreements or proposals.	
--	--	--