Department of Education

National Guidelines on:

How to Manage School Records

Volume 3 – General Administration Records

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Education Management and Governance Development

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TABLE OF CONTENTS

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1. **INTRODUCTION**

This manual has been compiled by the Department of Education with the aim of assisting School Management Teams (SMT's) and School Governing Bodies (SGB's) to manage their schools effectively. It aims to provide the reader with an understanding of the use, purpose, management and maintenance of all SGB records, with the exception of financial records. The financial records have been omitted here. They are available from the National Department of Education in seven volumes:

- National Norms and Standards For School Funding, Financial Management For Schools, Training Manual 1 to 5

- National Norms and Standards For School Funding, School Fee Exemption

- National Norms and Standards For School Funding, Self-Managing Schools Section 21 Functions.

This booklet is further limited to the General Education and Training (GET) band. All teaching and learning from Grade R to 9 contributes to the type of learner envisaged by the National Curriculum Statement. Assessment of this learning takes place on a continuous basis throughout the ten years of schooling. The assessment and certification of this cumulative learning takes place at the end of Grade 9, when learners who meet the specified requirements are awarded a General Education and Training Certificate. This ends a learner's period of compulsory schooling.

This booklet forms one of four volumes in the series *Guidelines on How to Manage School Records* :

- National Guidelines on How to Manage School Records – Volume 1, School Governing Body Records

- National Guidelines on How to Manage School Records – Volume 2, School Management Records

- National Guidelines on How to Manage School Records – Volume 3, Administration Records (this booklet)

- National Guidelines on How to Manage School Records – Volume 4, Learner Records

Diversity of schools reflects and necessitates diversity in management and procedures. The records that schools keep will range in a similar vein. The records provided in this guide are generic sample documents and as such do not make provision for all provincial variations. **They are guidelines only**. Schools may feel the need to adapt these forms to meet their own particular requirements (for example, schools catering for learners with special educational needs).

1.1. Outcomes of these guidelines

The manual aims to provide the reader with the following:

1. An overview of how to manage general administration school records;

2. An indication of the types of records to be kept at schools; and

3. An understanding of the use, purpose and maintenance of each record.

1.1.1 Who should read these guidelines?

This manual is addressed primarily to school management teams (SMTs) and school governing bodies (SGBs). However, district, regional and provincial education officers would also find it a useful guide to managing the information at their respective levels.

1.1.2 What is records management?

Records management involves the storage, retrieval and use of information. In records management, the guiding principle is that information must be readily available at the prerequisite time and in the form it is required. In order to effectively utilise the information in the system, the data must be **accurate, reliable and informative.**

1.1.3 What is a school record?

A record is documented proof of a transaction or activity that is routinely done by a school. These activities range from the purchasing of learning resources to accounting for the number of learners and teachers present, absent or ill at school. Records are therefore an important means of accountability because they provide proof of actions taken and decisions made by either the school management team or the school governing body.

1.1.4 What is the role of records?

Records play a dual role in that they provide schools with a clear indication of what is available and what is required, as well as providing schools with the ability to pass on information for planning and policy decisions. Parents can have access to school records. Records must be archived and kept for three years after a child has left the school. The records may only be disposed of according to provincial regulations.

1.1.5 Types of School Records

There are essentially two categories of records kept at schools.

* The first can be termed **governance** records, as they are a separate category of records both developed and administered by the SGB.   The information required by the governing body of the school is intended to ensure the effective and efficient running of the school. The functions of the SGB are described in detail in sections 5, 6, 7, 8 and 20 of the South African Schools Act and centre around six essential policies.

- The second category may be termed **management** records, as they are the instructional leadership and administrative records utilised by the SMT for the effective functioning of the school's core activities and comprises records on the learners, staff and resources of the school. The SMT requires information to ensure that learning and teaching occur.

These records may be classified under three categories:

- Management Records;

- Administrative Records (this booklet);

- Learner Records.

Each of the above is dealt with in a separate booklet:

- National Guidelines on How to Manage School Records – Volume 2, School Management Records;

- National Guidelines on How to Manage School Records – Volume 3, Administration Records (this booklet);

- National Guidelines on How to Manage School Records – Volume 4, Learner Records.

2. Registers

Registers are a useful way of capturing information without losing the necessary detail. There are various types of registers used for general administrative purposes. These include:

- Admission registers;

- Leave registers for personnel; and

- Attendance registers.

2.1 Admission Register

2.1.1 Introduction

This is a permanent record in which every learner is recorded on the first day he/she is admitted into a school. It is a comprehensive listing of the school's former and current learners. Such a record is necessary in order to keep track of school enrolments. It also becomes an important reference tool for past enrolments into the school. The register is not necessarily the sole source of all required information; it merely gives a summary of the overall picture.

More information about individual learners on aspects such as attendance or performance etc may be found in other records. The source of the information entered into the admission register is contained in the application forms and letters for admission. (The latter forms are dealt with under learner records in Volume 4.)

2.1.2 Purpose

The admission register does the following:

- Records all the learners who have been admitted to a school;

- Gives a picture of the entire school enrolment by individual learner. This information is useful for examining the school's resources in relation to the number of learners;

- Shows learner movement from the first enrolment to the time they leave the school;

- Is used to fill in the school enrolment sheets;

- Can be used for reference purposes.

2.1.3 Use

The school principal and the person in charge of keeping the school records for reference purposes on current and former learners use the register. A unique admission number is

generated for each learner, usually starting with the year of entry, e.g. 2000/001, where 2000 is the entry year and 001 is the learner number. This number provides the basis for all cross-referencing purposes and must appear on every other learner record.

2.1.4 Organisation, storage and retention

The register can be kept in the principal's office. Registers that are full, or have been discontinued, can be arranged chronologically by year of original entry.   An index of learners by name, with the corresponding admission number, would be useful. It would facilitate retrieval of other learner records, since learners have been entered chronologically into the admission register.

Admissions registers should be kept in the principal's office for the duration of the academic year. It could, of course be kept for a longer period, but needs to be accessible for the duration of the learning period at that school. Thereafter, it should be dealt with in accordance with the provincial department's regulations.

The admissions register also needs to be balanced at the end of each intake. Learners who have been transferred or left the school for any reason, need to be removed from the total enrolment and new enrolments added. The Admissions Register should reflect the exact number of total enrolments at all times.

Example – Admissions Register

Admission Number.	Date	Surname	First Name/s	Gender	Race (statistics)	Language of learning	Age	I.D No	Grade on admission	Last school attended	Grade on leaving	Reasons for leaving	Name of next school	Name of parent/ guardian	Address and Contact number of parent/ guardian

Total enrolled: _____   Date: _____

Principal's signature: _____

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2.2 Personnel Leave Register

2.2.1 Introduction

This is a convenient way of recording the type and duration of leave taken by each staff member. It is a summary of leave applied for or taken during a specified period of time.

2.2.2 Purpose

It provides an effective overview of staff's leave requests and allows the principal to plan timeously for replacements if needs be.

2.2.3 Use

The principal or an administrative staff member completes it. The register is completed once the standard leave application forms, supplied by the provincial departments have been approved.

2.2.4 Organisation, storage and retention

The register must be kept in the principal's office for quick reference and for planning purposes. It needs to be regularly updated. The type of leave taken by personnel needs to be stated exactly. As soon as a leave application has been approved, the register needs to be updated. The register can contain a list of all staff members, and can be updated as they apply for leave. It should be kept for as long as is possible, and must only be destroyed in accordance with provincial regulations.

Example –Personnel Leave Register

ABC Primary School

Persal No.	Name	Leave type*	No of Days	Date/s	Date forwarded	Approved (A)/ not approved (NA)	Educator's Signature	Principal's Signature

* Sick leave, vacation leave, study leave, special leave (family responsibility leave other)

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2.3 Attendance Register

2.3.1 Introduction

The attendance register provides a daily record of attendance per class in the school. It indicates the frequency of attendance for each learner per week, term and year. The provincial education department will most probably provide an Attendance Register to the schools. The register can be used to record the attendance of both learners and staff members.

2.3.2 Purpose

The purpose of the attendance register is:

- To give the class teacher or senior staff member information about an individual learner's attendance or absence at a glance;

- To show whether a learner needs special attention (A learner who shows a poor rate of attendance might need special attention);

- To show the average class attendance;

- To show the size of each class;

- To show a comparison between boys and girls.

2.3.3 Use

The Attendance Register can be used by the class educator, guidance teacher, the Head of Department or Principal to indicate attendance of a learner or a class as a whole. Regular statistics, usually quarterly, are fed through to the district or regional office for control purposes. The district and regional offices use the statistics for planning and policy purposes.

2.3.4 Organisation, storage and retention

At the beginning of the year, the names of all the learners in a class should be entered alphabetically. The names can also be entered by gender. The admissions number is an important cross-reference item and must be entered as well.

During the term the register should be kept either in a staff room or office under the safekeeping of the teacher. During the holidays the register should be locked in the principal's office.

The principal should keep completed registers at end of the year. They should be arranged according to grade, class and year. Completed registers should be kept accessible for as long as at least one learner mentioned therein is still learning in the school. Thereafter, it should be dealt with in accordance with the provincial department's regulations.

Example- Attendance Register

Register of Learner Attendance for the Quarter/Term Ending………………………Year…….. …   Grade……………………..

Admission No.	Learner		Date of Birth	Gender	Week ending Friday…………...						Week ending Friday…………...						Week ending Friday…………...						Week ending Friday…………...					
	Surname	First name			M	T	W	T	F	Total	M	T	W	T	F	Total	M	T	W	T	F	Total	M	T	W	T	F	Total
Total no. on the roll																												
Total no. of attendances																												
Total no. of absentees																												
Possible no. of attendances																												
No. of school days																												
Average attendance																												

3. Physical Resource Records

3.1 Inventory Forms

3.1.1 Introduction
This is a record of office, classroom, laboratory and workshop equipment and furniture.

3.1.2 Purpose
An inventory form helps to record and account for equipment and furniture stored in various offices, classrooms, laboratories and workshops.

3.1.3 Use
The form can be used by:

- Those entrusted with the use of the equipment and furniture;
- Those occupying the offices, classrooms, laboratories, etc;
- The school principal.

3.1.4 Organisation, storage and retention
One copy of the inventory should be pinned to the office or classroom door. Another copy should be filed, according to room, in the principal's office. There should also be an index of inventory forms according to the rooms.

Example - Inventory of Furniture and other Equipment in Classrooms

School………………………………………………………………………….

Room No……………   **Grade…………………………..**

Name of teacher……………………………………..…………………..

ARTICLE	NUMBER	ARTICLE	NUMBER
Desks, double		T-square	
Desks, single		Writing board protractor	
Desks, 2 drawer		Modulator	
Desks, 3 drawer		Musical equipment, specify	
Desks, other		Maps, specify	
Tables, teachers, without drawers		Refuse bin, large	
Tables, teachers, with drawers		Refuse bin, small	
Tables, large (laboratory, arts & crafts)		Bookcase, steel	
Tables, typing		Bookcase, wooden	
Tables, office		Bookcase, glass-fronted	
Tables, library		Bookends, wooden	
Tables, drawing		Bookends, steel	
Tables, telephone/stand		Cabinets, filing	
Tables, other (specify)		Cabinets, storage	
Chairs, learners		First-aid box	
Chairs, typist		Pigeon hole	
Chairs, laboratory		Easel	
Chairs, wooden		Correspondence tray	

ARTICLE	NUMBER	ARTICLE	NUMBER
Chairs, library		Rack, periodicals	
Chairs, upholstered		Rack, correspondence	
Chairs, with arms		Stand, coat and hat, wooden	
Chairs, without arms		Stand, coat and hat, steel	
Chairs, with arms		Overhead projector	
Chairs, utility		Computers	
Chairs, stackable		Typewriters	
Chairs other			
Benches			
Stools			
Cupboards, built-in			
Cupboards, loose			
Writing boards, fixed			
Writing boards, loose			
Easel writing boards			

Signature of Educator………………………………

Date…………………………..

3.2 Assets Register

3.2.1 Introduction

This is a record of all equipment, furniture and textbooks purchased by the school.

3.2.2 Purpose

The purpose of the assets register is to account for stocks received, dispatched and written off. It can also be used as a record of Learner Support Materials handed out by and returned to teachers.

3.2.3 Use

The form can be used by:

- The person in charge of stock control;

- Those entrusted with the use of equipment, furniture and textbooks;

- The principal.

3.2.4 Organisation, storage and retention

The person in charge of stock control should keep the form. Asset forms can be arranged according to type of asset and then by year. They could be stored in a filing cabinet. It is helpful to create an index of the materials by subject, grade, author, title or name of the materials and equipment.

The lists must be filed and kept for as long as possible, or at least for as long as the provincial regulations stipulate.

Example – Assets Register

Description: (e.g., textbooks, furniture, science equipment, music equipment etc)_____

Date Received	Order or Requisition Number	Number Received	Item	Issue, Transfer, Return, Write Off	Issued, Transferred, Returned, Written Off		Balance	Name and Signature	
					Number	**Date**		**Teacher**	**Stock Controller**

Principal: …………………………………………   **Date:…………………………**

4. How To Store And Retrieve Records

4.1 Filing

All records must be organised and stored in an orderly way to ensure that they can be retrieved easily if they are needed. To achieve this they must be filed and classified. This involves grouping together records on the same subject or issue within a file. It is useful to have all the information on a particular area together. So, in a school, information can be arranged according to groups or learners, teachers, materials, etc. File groups can then be further subdivided into more specific groups. A record on learners, for example, could be subdivided in admissions, registrations, academic performance, attendance and so on. When creating a filing system it is important that files should be placed in a logical order. A logical file arrangement will ensure that each file has its specific place and can be retrieved easily when it is needed. Records may also be filed according to their function. It is preferable to arrange learner and teacher records alphabetically by surname.

4.2 Storage

After a classification system has been decided on and files have been created and labelled, the files must be stored according to their classification in a safe place. A filing cabinet or cabinets that can be locked can be used for this purpose. The cabinet drawers must be labelled clearly and the files appropriately organised so as to maintain the relationship of the files to one another. The files should normally be kept for three years after the learner has left school in paper or electronic form.

4.3 Indexing

Indexing involves recording the records as they arrive and, subsequently, where they are kept. Indexing is important as the system used may not always be familiar to people who are looking for the records. The index can then provide a listing of names, codes or any other identities to which people may refer when looking for a record. The index should show which record files and information is available, under which identities they can be found and where they are located.

An **example** of a filing system is given below.

Example – Filing System

1. **Administration**

    1.1. Policies – (departmental, school and governing body's)

    1.2. Rules and regulations – (discipline, grievance, suspension, transfer, expulsion, awards, etc)

    1.3. Registers – (applications, admissions, transfers, attendance, leave applications, stock, etc).

    1.4. Reports – (principal's, PTA's, SGB's, Sub-committee's, inspection, health, etc.)

    1.5. School brochures, newsletter, prospectus

2. **Buildings and Grounds**

    2.1. Rules, regulations and policy

    2.2. General correspondence – (telephone, burglaries, heating, water supply, use of buildings after hours, etc)

    2.3. Repairs by SGB – (school, sport facilities, furniture and equipment)

    2.4. School development plans – (renovations, additions, gardens, etc)

    2.5. Maintenance of facilities – (pool, garden, tennis courts, grounds, etc)

    2.6. Contracts of service providers

3. **Curriculum**

    3.1. Rules, regulations and policy

    3.2. General correspondence –(schemes of work, syllabi and policy documents, prescribed works, stationery requirements, learner support materials, district and circulars, etc)

    3.3. Subject or Learning area list

    3.4. Remedial teaching

    3.5. Guidance and counselling, sexuality education

    3.6. Timetables

4. **Assessment and Evaluation**

    4.1. Continuous Assessment

    4.2. CTA

5. **Cultural (extracurricular) Activities**

   5.1. Art

   5.2. Chess

   5.3. Music

   5.4. Plays

   5.5. Life skills

   5.6. Quizzes

   5.7. Mini City Council

   5.8. Entertainment

   5.9. Outside productions

   5.10. Concerts, plays, programmes tours

6. **Educational Aids**

   6.1. Rules, regulations and policy

   6.2. General correspondence – (financial allocation, stock allocation, requisition and distribution, etc)

   6.3. Apparatus for all and particular subjects

   6.4. School material – (stock, textbooks, etc)

   6.5. Requisition forms

   6.6. Annual stationery orders

7. **Examinations and promotions**

   7.1. Rules, regulations and policy

   7.2. General correspondence – (examiners, moderators, department of education, exam fees and exemptions, item banks, etc)

   7.3. Final examinations – (entries, supplementary exams, averages, results, oral and practical assessments, year marks, etc)

   7.4. Examination timetables – (supervision, moderation, examination papers, etc)

   7.5. Certified statements and certificates – (applications, dispatch, etc)

   7.6. Promotion schedules

8. **Furniture and Equipment**

   8.1. Rules, regulations and policy

   8.2. General correspondence – (donations, maintenance, inventories, etc)

8.3. Machines – (tractors, lawn mowers, generators, mechanical equipment)

8.4. Garden tools – (requisitions, write-offs, annual returns, etc)

8.5. Office equipment – (stationery, strong room, copier, typewriters, etc)

8.6. Cleaning supplies – (orders, receipts, etc)

8.7. Stationery supplies – (orders, receipts, etc)

8.8. Classroom furniture and equipment – (requisition, inventories, write-offs, missing, damaged, annual returns, etc)

9. Financial information

9.1. Rules, regulations and policy

9.2. General correspondence

9.3. Insurance and investments

9.4. Bank statements

9.5. School fund and trust fund – (collections, payments, exemptions, accounts, bookkeeping, etc)

9.6. Fund raising – (fetes, plays, tuck shop, fundays etc)

9.7. Payments – (accounts, telephones, utilities, etc)

9.8. Support fund

9.9. Audit reports

9.10. School fees correspondence

10. Governing Body

10.1. Rules, regulations, policy and legislation

10.2. General correspondence

10.3. Governing body elections, vacancies, constitution, etc

10.4. Sub-committees –(PTA, Finance, etc)

10.5. General information for SGB

10.6. Minutes of meetings

11. Human Resources and School Development

11.1. Human resource development plans

11.2. Induction and orientation programmes

11.3. School development plans

12. Learners (Every learner must have their own file which includes the following)

12.1. Learner records

12.2. Special assistance

12.3. Testimonials

12.4. Personal information

12.4.1. Correspondence

12.4.2. Application form

12.4.3. Signed code of conduct & school policy

12.4.4. Extra-mural record, discipline records

12.4.5. Medical records (including allergies)

12.5. Scholar patrols, monitors, etc

12.6. Awards, prizes, merit certificates, school and sport colours, valediction, etc

12.7. Guidance

13. Media services

13.1. Rules, regulations and policy

13.2. General correspondence – (book lists, lists for rebinding, annual returns, donations, etc)

13.3. Purchases, requisitions, write-offs, allocations, etc

13.4. Computers, Internet access- records and fees paid, maintenance records

14. Medical information

14.1. Rules, regulations and policy

14.2. General correspondence

14.2.1. Children safety

14.2.2. Medical examinations

14.2.3. Injuries

14.2.4. Infectious diseases

14.2.5. Dental treatments

14.2.6. Certificates, etc

14.3. First Aid

15. Management and Organisation

15.1. Rules, regulations, policy and legislation

15.2. General correspondence (Calendar, Time-tables, Registers, Statistics etc)

15.3. Surveys (Annual, 10th Day, etc)

15.4. Discipline and Grievance – (procedures, reviews, etc)

15.5. Learners with Special needs – (reports, assistance, assessments, volunteers guidelines for the use of volunteers, intervention issues etc)

15.6. Affiliations and subscriptions – (SGB forum, SACE, Other.)

15.7. Practical teaching experience – (pre-set students)

15.8. Educational journeys – (indemnities, logistics, etc)

15.9. Marketing – (open day, new parents' evening, etc)

15.10. After-school care

15.11. Charities

16. Sport activities (Some examples)

16.1. Athletics

16.2. Cricket

16.3. Cross country

16.4. Netball

16.5. Soccer

16.6. Swimming

16.7. Tennis

16.8. Tabloid sports

16.9. House lists

17. Personnel – (administration and support)

17.1. Rules, regulations and policy

17.2. General correspondence – (conditions of service, staff development, etc)

17.3. Salaries, pensions, tax and medical aid, IRP5

17.4. Leave and sick leave

17.5. Signed duty lists

17.6. Personal information

17.7. Merit awards

18. Personnel – (Teachers and Management)

18.1. Rules, regulations and policy

18.2. Personal information

18.3. Personnel allocation of posts

18.4. Salaries and bonuses

18.5. Incentives, e.g. accommodation

18.6. Attendance and leave registers

18.7. Applications, promotions, transfers and resignations

18.8. Appointments – (temporary, permanent, probation, contractual, etc)

18.9. Interviews