Use this form alongside the Recordkeeping principles self-evaluation guidelines for non-government schools to evaluate your school’s recordkeeping program or activities. It will help you to identify areas for improvement and adopt good recordkeeping practices.

| **Royal Commission into Institutional Responses to Child Sexual Abuse**  **Recommendation 8.4 – Principles for Records and Recordkeeping**  **Principle 1** | | | | |
| --- | --- | --- | --- | --- |
| **Assessment rating**  **1. Inadequate 2. Acceptable but requires development 3. Effective 4. Very good** | | | | |
| **Components** | **Yes**  **or**  **No** | **Rating 1 – 4** | **Description**  **Include strategies for improvement and timelines for completion if the assessment rating is less than 3.** | **Reviewer assessment**  (eg school registrar, senior administrator or governing body) |
| **Creating and keeping full and accurate records relevant to child safety and wellbeing, including child sexual abuse, is in the best interests of children and should be an integral part of institutional leadership, governance and culture.**  Institutions that care for or provide services to children must keep the best interests of the child uppermost in all aspects of their conduct, including recordkeeping. Institutions must therefore foster a culture in which the creation and management of accurate records are integral to the institution’s operations and governance*.* | | | | |
| **Think about: Provision of staff recordkeeping training and information (guidelines 1.1–1.5)** | | | | |
| Has your school implemented activities to ensure that all staff are aware of their recordkeeping responsibilities?  If so, what measures are in place? |  |  |  |  |
| **Recordkeeping training** | | | | |
| Do you conduct regular training for staff?  If so, what does the training cover and how is it delivered? For example, formal training sessions or staff meetings. |  |  |  |  |
| How often is the training delivered? For example, regularly or on an ad hoc basis.  Is it delivered to all staff or some branches or units?  Who delivers the training? For example, records staff or administrative staff. |  |  |  |  |
| **Brochures, intranet or other publications** | | | | |
| Do you promote good recordkeeping practices through brochures, school intranet or other publications?  If so, how and when are these sources of recordkeeping information delivered?  What sort of information do they contain? |  |  |  |  |
| **Induction programs** | | | | |
| Do you have induction programs for new staff?  If so, does it cover your school’s recordkeeping processes? |  |  |  |  |
| **Evaluation of staff training and information sessions** | | | | |
| Does the training contain enough relevant information?  Is the training undertaken frequently enough?  Are your brochures, intranet or other publications updated regularly?  When a process changes are staff notified in a timely manner? |  |  |  |  |
| **Identified areas for improvement** | | | | |
| If you believe the area can be improved, please describe how and the timelines for completion. |  | | | |

| **Royal Commission into Institutional Responses to Child Sexual Abuse**  **Recommendation 8.4 – Principles for Records and Recordkeeping**  **Principle 2** | | | | |
| --- | --- | --- | --- | --- |
| **Assessment rating**  **1. Inadequate 2. Acceptable but requires development 3. Effective 4. Very good** | | | | |
| **Components** | **Yes**  **or**  **No** | **Rating 1 – 4** | **Description**  **Include strategies for improvement and timelines for completion if the assessment rating is less than 3.** | **Reviewer assessment** |
| **Full and accurate records should be created about all incidents, responses and decisions affecting child safety and wellbeing, including child sexual abuse.**  *Institutions should ensure that records are created to document any identified incidents of grooming, inappropriate behaviour (including breaches of institutional codes of conduct) or child sexual abuse and all responses to such incidents.*  *Records created by institutions should be clear, objective and thorough. They should be created at, or as close as possible to, the time the incidents occurred, and clearly show the author (whether individual or institutional), the date created, describe the circumstances, the incident, child involved, and name any other people involved, etc.* | | | | |
| **Think about: Records management policies and procedures overview (guidelines 2.1–2.4)** | | | | |
| Does your school have a system in place to manage records?  If yes, please describe it, for example:   * a fully electronic system * a hard copy system * hard copy and electronic * a spreadsheet as a register |  |  |  |  |
| **Policies and procedures for records management** | | | | |
| Does your school have records management policies and procedures in place that cover:  • creation of records  • access to records  • disposal of records? |  |  |  |  |
| Do these policies and procedures address how to manage certain types of records as required? For example, complaint records, case files. |  |  |  |  |
| **Authorisation of policies and procedures** | | | | |
| Who formally approves and signs the school’s records management policies and procedures? For example, the principal or senior delegated officer. |  |  |  |  |
| **Evaluation of records management policies and procedures** | | | | |
| Do the policies and procedures contain enough relevant information? |  |  |  |  |
| Are the policies and procedures updated regularly? |  |  |  |  |
| Do the school staff know to follow the policies and procedures? |  |  |  |  |
| **Identified areas for improvement** | | | | |
| If you believe this area can be improved, please describe how and the timelines for completion. |  | | | |

| **Royal Commission into Institutional Responses to Child Sexual Abuse**  **Recommendation 8.4 – Principles for Records and Recordkeeping**  **Principle 3** | | | | |
| --- | --- | --- | --- | --- |
| **Assessment rating**  **1. Inadequate 2. Acceptable but requires development 3. Effective 4. Very good** | | | | |
| **Components** | **Yes**  **or**  **No** | **Rating 1 – 4** | **Description**  **Include strategies for improvement and timelines for completion if the assessment rating is less than 3.** | **Reviewer assessment** |
| **Records relevant to child safety and wellbeing, including child sexual abuse, should be maintained appropriately in an indexed, logical and secure manner.**  Records relevant to child safety and wellbeing, including child sexual abuse, should be maintained in an indexed, logical and secure manner. Associated records should be collocated or cross-referenced to ensure that people using those records are aware of all relevant information. | | | | |
| **Think about: Records indexing and maintenance (guidelines 3.1–3.3)** | | | | |
| Are records kept in dedicated files or folders? For example, student files and personnel files. |  |  |  |  |
| Are the administrative files or folders managed with clear rules and permissions? |  |  |  |  |
| How do you manage the files or folders? |  |  |  |  |
| Are the files or folders named according to conventions? For example, file plan, list of subject headings, list of authorised headings or Keyword AAA. |  |  |  |  |
| **Security** | | | | |
| Where are the records stored?  Do you use a data centre, or cloud storage for your electronic records?  If so, give details of any arrangements for storage of electronic at a third party data centre or with a cloud service provider. |  |  |  |  |
| Describe what precautions are in place to ensure security of your school’s records. For example:   * Are they stored in locked cabinet, room or off site? * Is access restricted to certain staff members? |  |  |  |  |
| **Business continuity** | | | | |
| Describe how backups of onsite electronic records are undertaken and where they are stored.  How is electronic (digital) information maintained?  Describe the arrangements. For example, backups, storage by an external provider. |  |  |  |  |
| Do you have a plan in place to mitigate risk of losing records? For example, a:   * business continuity plan * disaster management plan |  |  |  |  |
| **Evaluation of records control and access** | | | | |
| Is it easy to file and locate information in a timely manner? |  |  |  |  |
| Are storage areas considered appropriate and secure? |  |  |  |  |
| Is electronic information backed up appropriately in case of data loss? |  |  |  |  |
| **Identified areas for improvement** | | | | |
| If you believe this area can be improved, please describe how and the timelines for completion. |  | | | |

| **Royal Commission into Institutional Responses to Child Sexual Abuse**  **Recommendation 8.4 – Principles for Records and Recordkeeping**  **Principle 4** | | | | |
| --- | --- | --- | --- | --- |
| **Assessment rating**  **1. Inadequate 2. Acceptable but requires development 3. Effective 4. Very good** | | | | |
| **Components** | **Yes**  **or**  **No** | **Rating 1 – 4** | **Description**  **Include strategies for improvement and timelines for completion if the assessment rating is less than 3.** | **Reviewer assessment** |
| **Records relevant to child safety and wellbeing, including child sexual abuse, should only be disposed of in accordance with law or policy**.  Records relevant to child safety and wellbeing, including child sexual abuse, must only be destroyed in accordance with records disposal schedules or published institutional policies.  Records relevant to child sexual abuse should be subject to minimum retention periods that allow for delayed disclosure of abuse by victims and take account of limitation periods for civil actions for child sexual abuse. | | | | |
| **Think about: Records retention and disposal activities (guidelines 4.1–4.5; refer to the definition of ‘disposal’ on p12 of the guidelines)** | | | | |
| Do you have a records retention and disposal schedule, standard or policy in place at the school?  If so, please describe it. |  |  |  |  |
| Do you conduct a regular disposal program? For example, every one or two years. |  |  |  |  |
| Is there a school controlled register of destroyed records? |  |  |  |  |
| **Authorisation** | | | | |
| Before any records are destroyed, who authorises their disposal?  For example, before any records are destroyed, a list of those records due for destruction is reviewed by the principal or a senior delegated officer in the school and authorised and signed off for destruction. |  |  |  |  |
| **Identified areas for improvement** | | | | |
| If you believe this area can be improved, please describe how and the timelines for completion. |  | | | |

| **Royal Commission into Institutional Responses to Child Sexual Abuse**  **Recommendation 8.4 – Principles for Records and Recordkeeping**  **Principle 5** | | | | |
| --- | --- | --- | --- | --- |
| **Assessment rating**  **1. Inadequate 2. Acceptable but requires development 3. Effective 4. Very good** | | | | |
| **Components** | **Yes**  **or**  **No** | **Rating 1 – 4** | **Description**  **Include strategies for improvement and timelines for completion if the assessment rating is less than 3.** | **Reviewer assessment** |
| **Individuals' existing rights to access, amend or annotate records about themselves should be recognised to the fullest extent.**  Individuals whose childhoods are documented in institutional records should have a right to access records made about them. Full access should be given unless contrary to law. Specific, not generic, explanations should be provided in any case where a record, or part of a record, is withheld or redacted.  Individuals should be made aware of, and assisted to assert, their existing rights to request that records containing their personal information be amended or annotated, and to seek review or appeal of decisions refusing access, amendment or annotation. | | | | |
| **Think about: Policies and procedures for access to records** | | | | |
| Does the school have policies and procedures outlining an individual’s rights to access, amend and annotate records? |  |  |  |  |
| How are these policies and systems available to staff? For example, published in hard copy format or available on the intranet or a school system. |  |  |  |  |
| **Authorisation** | | | | |
| Who formally approves access requests and amendments and annotations to the policies and procedures?  For example, the principal or a senior delegated officer. |  |  |  |  |
| **Evaluation of the records access policies and procedures** | | | | |
| Do the policies and procedures contain enough relevant information? |  |  |  |  |
| Are they updated regularly? |  |  |  |  |
| Do staff members know about them and have access to them? |  |  |  |  |
| Are they available to those that require them? |  |  |  |  |
| Are requests for access, amendment or annotation dealt with in a timely manner? |  |  |  |  |
| **Identified areas for improvement** | | | | |
| If you believe this area can be improved, please describe how and the timelines for completion. |  | | | |

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| --- |
| **Authorisation** |

The principal or a senior delegated officer must authorise this form after preparation and review.

After using this form to evaluate the school’s recordkeeping standards, do you believe the school meets the minimum requirements applicable to non-government schools, according to Recommendation 8.4 of the five recordkeeping principles?

Yes  No

**Prepared by**

Name: Position:

**Reviewed by independent officer**

Name: Position:

**Authorised by delegated officer (principal or other)**

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Position: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_