Managing records at school level

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Overview

The generation and use of information

Both schools and the Ministry of Education (MOE) generate information, which each in turn uses for the daily running of the schools, as well as for projecting and planning purposes. For the information to be used effectively, it must be accurate and reliable. This calls for efficient information management and herein lies the role of records.

Amongst the information generated by schools, for example, are enrolment statistics (capacities and demand), human, financial and material requirements, expenditures, etc, all of which are crucial to the successful running of an education system as a whole. Schools are able to provide this information satisfactorily, provided it is on record.

What is a record?

A record is defined as a documented proof of a transaction. This can refer to any activity which falls within the normal routine of an organisation.

Schools have the task of teaching and providing a learning environment. In so doing, teachers and other members of staff are employed, materials are acquired, pupils are admitted, tested, examined and so forth. Any written or recorded item that shows the existence of a particular pupil, how many pupils there are in the school, if a pupil has been transferred, how many desks have been acquired, etc, is a record. In short, records contain information important to the daily running of schools.

Some activities in a school need to be accounted for, especially when resources have been or need to be used. It is important for a teacher or school head to justify certain actions. In the absence of proof of the activity having taken place, it is difficult to explain or account for the resources that may have been expended in the course of the activity.

Records, therefore, are an important means of accountability because they provide proof. For example, there are instances when a school has to ask for certain facilities from the Ministry or any other funding organisation. Unless the school can show that it does not have adequate facilities or that it has admitted more pupils, it is difficult for the funding organisation to justify sending any of the requested items.

The role of records

Records have a dual function. Not only do they enable a school to have a clear picture of what is available and what is required, but they also provide justification of certain needs. Furthermore, they serve to extend the memory by which persons and/or organisations can pass their cultures and achievements on to future generations.

Record keeping is vital to an education system’s information cycle as a whole, because of its fundamental role in the process of efficient information production and collection. Since some of the most crucial information is produced at the school lev-
Records management

School level

The importance of creating a systematic record-keeping culture at that level cannot be stressed enough.

For records to exist in the first place, the need for them has to be identified. Such a need may be a matter of policy or a requirement either of the MOE or the school authorities. Once this need has been highlighted, one can turn to the issue of the effective management of the records.

Who should read this unit?

This unit is addressed primarily to school heads and those teachers involved in school administration. However, officers within the education administrative structure who are responsible for managing information generated at the school level may also find it helpful. Furthermore, it can also be used as reference training material at teacher training institutions.

The aim of the unit

This is to draw the reader’s attention to the importance of records in school management. It highlights the basic skills needed in school records management and suggests ways in which to create and maintain standard records as efficiently as possible at the school level. As such, it provides a general, good practices framework that can be adapted according to specific country requirements.

Unit structure

To enable the reader to clearly grasp the various issues involved in records management, the unit comprises the following sections:

• a general overview of managing records. It includes definitions of records management concepts as used in this text and provides examples where applicable
• a description of the design and characteristics of standard school records
• suggestions on how to manage records on pupils, teachers and administrative staff, materials and finances
• an examination of the various stages within the school records management cycle followed by an example proposal of a time-table for information preparation by schools within the school calendar year.

Having read this section, you should be able to:

• define what a record is
• describe the importance of keeping records
• state what some of the general uses are of school records

This unit does not include any exercise.
1 Records Management

1.1 Introduction

This chapter is a discussion on the management of records in general, be it at a school or within another context.

Records management involves the storage, retrieval and use of information. More precisely, it is “the application of systematic and scientific control to all the recorded information that an organisation needs to do business.” Poor records management results in difficulties in administering, planning and monitoring an education system. In fact, poor records management and the lack of staff development along the entire information cycle are responsible for problems with management and policy implementation in schools and ministries of education.

In records management, the guiding principle is that information must be readily available at the prerequisite time and in the form it is required.

Although different methods or systems can be used to bring about efficient records management, there are some basic rules that must be respected. So as to manage any information well, it is vital initially to determine its characteristics and functions. This is important, because the way in which records (which contain the information) are arranged depends on the type of information they contain. The section below highlights the most common groups and categories of information that occur in record keeping and describes their characteristics and functions.

1.2 The ten categories of information

1 **Action information** requires the recipient to respond or take action. Examples are: instructions, requests, applications. In a school, it includes application letters or transfer requests. Action information may result in the acquisition of materials or the introduction of disciplinary measures. Such information should be brought immediately to the attention of whoever has to take the action. It may help to place ‘urgent’ labels on this information.

2 **Non-action information** does not necessarily require an action or a response to follow it. For example, the notification of an action already taken, like the appointment of a new minister of education. Some non-action information may still result in actions. For instance, when there is a new policy certain procedures change and some behavioural patterns may need adjusting. Non-action information is no less important than any other category because it may be of value and could be used as a reference.

3 **Recurring information** is based on activities or events that recur at intervals. For example, pupil attendance, assessment results, accounting,
inventories, evaluations, etc. This includes information about tasks which were done or need to be done at given times of the year, term/semester. Annual reports from the school or school authority carry recurring information, although the details may differ each year. Ongoing activities can also generate information, like annual sports competitions, etc. and, just as with recurring information, the results may differ.

4 **Non-recurring information** relates to matters which may not recur on a regular basis during the life of the organisation. For example, capital projects, like the construction of a building or school ablution block. These take place when the necessary resources are available and can take time to complete.

5 **Internal information** is generated by the organisation during its operations and is destined for internal use. When a school holds meetings or has certain internal activities, the information resulting from these may be for internal use only. For example, letters from the head teacher to all members of staff and letters from members of staff to the school head.

6 **External information** comes from other institutions such as the Ministry of Education headquarters or different schools. This also includes information which may be sent to or consumed by external organisations.

7 **Historical information** relates to past activities and events, for example, reports on past events and activities. Usually, this is non-action information about matters or activities undertaken by the organisation or school. Action information becomes historical information after a time.

8 **Future information** concerns events to come or actions to be taken. Some action information may not require immediate action, but can cover future activities. These activities may not have to be done by the person receiving the information (in which case it is non-action information), but depend upon events or actions to be done at some future date. For example, the Minister will visit a school or there will be a major meeting of ministers on a certain issue.

9 **Documentary information** is that which is entered onto permanent records. It is noted on paper or tape or any other storage device, like computer disks should computers be available.

10 **Non-documentary information** is oral.

As shown in (7), categories of information are not necessarily mutually exclusive. Historical information, for example, can also be non-action information. Then again, certain information can combine into more than one category, such as external action information.

Only after having identified the category to which information belongs, can one proceed to organise it accordingly. For instance, recurring information must be arranged in such a way that current information can be distinguished from past information.
Having identified the various categories of information, we now turn to the activities involved in managing these categories.

1.3 The scope of records management activities

Records management involves the following activities and practices:

- creation and distribution
- use
- retention
- storage
- retrieval
- protection
- preservation
- final disposal

Each of these has a direct influence on the availability of information.

Within a school, responsibility for the above activities can vary. Some schools may even employ people specifically to manage records. Since virtually everybody generates and uses information, its loss or poor access to it can affect an entire system. Ultimately, therefore, everyone should be concerned with the way in which the records are managed (created, moved, organised and used). Moreover, as information increases, certain management standards are necessary.

Generators of records, this is to say, almost everyone in a school, have certain responsibilities which include:

- Creating a record-keeping system among school personnel. This may include establishing the uniform use of codes or titles on all records and, in the case of standard records or forms, ensuring that the correct form is used.
- Preparing the correct number of copies of the different topics covered by each of the records. Within a series of records on teachers, there are various subsections of information. For example, information on teachers may include titles like ‘Disciplinary Action’ or ‘Promotions’. Copies of information under these headings should preferably be kept by the school head as well as in a suitable storage area should there be sufficient space at the school. The individual teacher files should also be retained in the storage area.
- Ensuring that file copies are sent to the designated storage area.

Once created, a record goes through various stages. It is important to be able to identify each particular phase of a record since this directly affects what is to be done with it.

The life cycle of a record

Each record has a life cycle. There is a stage when a record is active. It is then referred to as an active record. During this phase the record is in full use. An example of such a record is when a teacher or pupil are currently at a school. Any
records pertaining to them can be used either for a performance evaluation or to insert additional information.

During the next stage, the record becomes semi-active, this is to say, it is less active than before. The record may, however, be used as a source of reference. Usually, information is neither added nor removed from such a record.

The final stage is when the record becomes inactive or dormant. There are two things that may happen to such a record. If the record has an historical value, namely, it has information which could be used later on, then the record is kept in a safe storage place, usually referred to as an archive (see Section 1.5 for a definition of an archive). If the record has no historical value, then it can be discarded.

A record must undergo evaluation in order to determine to which of the above three categories it belongs and, following this, what is to be done with it. This process is referred to as appraisal.

Appraisal is important in that the more records there are, the more difficult and costly it is to maintain and manage them. It is important to get rid of those that do not have any value, in order to provide space and facilitate management. One example of this is a non-action information record, like the notification to a school of the death of a personnel officer at Ministry headquarters. Such a record need not be kept long at a school, because it has less historical value for the school than for Ministry headquarters. This kind of information could be kept at Ministry headquarters.

A school must concentrate on directing its limited resources at maintaining and managing those records that have a direct bearing on the school. As general practice, the school should determine when appraisals are to be carried out, so as to be able to decide what must be done with the different categories of records. This is referred to as a retention and disposal schedule. (See below for definitions of these terms).

The personnel responsible for records maintenance and retention are the custodians of the records that are currently in use and those that are retained for future use/reference. What exactly are these activities?

1.4 Definitions of activities

Maintenance
The maintenance of records involves all activities that ensure that they are in good condition, (e.g. not worn out or torn, that they are legible) and kept in an orderly state. This is a central function of records management.

Retention
Yet another important activity in records maintenance is retention. It involves determining which of the records have an historical value, thereby making them relevant for future reference. Such records should then be retained.

Transfer
Records that have an historical value, depending on whether they are active or not, may be transferred. Transfer refers to the movement of records from the ‘active’ record storage area at a school (the school head’s office or another designated area
within the school) to either another record keeping system at a school elsewhere or at the local education office.

Disposal
Records that are obsolete, those that have no historical or other value, may be destroyed.

Retention schedule

<table>
<thead>
<tr>
<th>Description of records</th>
<th>Storage place</th>
<th>Appraisal from date of creation</th>
<th>Retention In storage</th>
<th>Archival</th>
<th>Disposal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Admission Register</td>
<td>School head</td>
<td>End of year 6 months</td>
<td>Forever</td>
<td>N o</td>
<td>Yes</td>
</tr>
<tr>
<td>Application form</td>
<td>Class Teacher</td>
<td>End of year</td>
<td>Forever</td>
<td>N o</td>
<td>N o</td>
</tr>
<tr>
<td>Class Register</td>
<td></td>
<td>End of year</td>
<td>Forever</td>
<td>Forever</td>
<td>N o</td>
</tr>
</tbody>
</table>

Filing
Records must be organised and stored in an orderly way to ensure easy retrieval. To achieve this they must be filed. This entails grouping together records on the same subject or issue within a file. A file is made up of a group of related documents which may form a. The word ‘file’ is also used to refer to the place where a number of records are put. For example, a file of letters/papers on school materials.

Records must be kept together in a group so that they can be used as a unit within a given area. It is useful to have all the information on a particular subject together. A series brings together related information. In a school, information can be arranged according to groups of pupils, teachers, materials and finances.

The initial stage in file arrangement requires identifying the records by subject content and then arranging the files according to subject groups. The file groups can then be further subdivided into more specific subgroups. For example, records on pupils can be further subdivided into admissions, registration, academic performance, attendance and so on.

Classification
The process of putting records and files into groups according to subjects is called classification. It ensures that school records are placed in a logical order. Logical file arrangement is important, since it ensures that each file has its specific place and can be retrieved easily.

There are a number of classification schemes, including those which are created by the schools themselves. When choosing a classification system, it is important to consider the order or structure of given subjects and how the various systems treat the subject. A good system will maintain the natural order of the subject. For example, pupil records should be arranged according to the various sequential processes of pupil management such as admission, registration, performance, etc.

It is, however, easier and more reliable to use the various school and ministerial classification schemes and terminology when classifying.
There are some commonly used methods for arranging records and files according to type. Below are four examples of how to go about classifying records.\(^3\)

**Methods of arranging records**

<table>
<thead>
<tr>
<th>Type of records</th>
<th>System often used</th>
</tr>
</thead>
<tbody>
<tr>
<td>Correspondence — this refers to letters, memos, etc.</td>
<td>Classified subject files. But correspondence can be a part of any type of system. Correspondence files are sometimes called general files to differentiate them.</td>
</tr>
<tr>
<td>Transactional records - transactions refer to the purchase or exchange of items.</td>
<td>Alphabetic (by name) or numerical arrangement (by numerical identifier, such as invoice number). It is important to keep these separately.</td>
</tr>
<tr>
<td>Project records — projects include the production of materials and services</td>
<td>Usually project name or number, often subdivided by subject and classified.</td>
</tr>
<tr>
<td>Case files (which may include or subdivide into discipline, performance, etc.) - these refer to files, like personnel and pupil files.</td>
<td>Normally by case or name.</td>
</tr>
</tbody>
</table>

It is preferable to arrange pupil and staff records alphabetically by surname in alphabetical files. For example, all pupils or teachers with surnames commencing with the letters A to G could be filed within the file A-G. Alternatively, numbers could be used for pupils and personnel, but this would depend on the quantities involved. Records may also be filed according to their functions (see Section 1.2 for a description of these).

**Coding (file identification)**

Once the files have been classified, they have to be labelled with certain identities/codes. Normally, the identities/codes which schools allocate come either from existing classification schemes, like those used at ministerial or district level, or they are ones developed by the schools themselves.

One method of coding is where categories are subdivided numerically in an hierarchical way: materials 100, papers 100.1, pencils 100.2, etc. Another system is to use alphabetical codes or a combination of letters and numbers. In South Africa they code admission matters with an ‘A’ both at the school and other administrative levels. It is important to note that, whatever coding system is used, it must be consistent. Also, all record creators should be informed of what codes are being used.

**File storage**

After a classification system has been determined and the files have been labelled, the files are then arranged accordingly and kept in a cabinet drawer. A filing cabinet or cabinets should be used for this purpose. The cabinet drawers in which the files are housed must be labelled clearly and the files appropriately organised so as to maintain the relationship of the files to one another.
Indexing

The process referred to as indexing involves recording the records as they arrive and, subsequently, where they are filed. The way in which information is classified, namely, the choice of a method and the actual file organisation and coding, depends on the system selected by each school or the place where the records are kept.

Hence, the classification and coding used may not always be familiar to the people who are looking for the records. It is, therefore, important to have an orderly listing of names, codes or any other identities to which people may refer when looking for the records. This is commonly referred to as an index.

The index should show what record files and information are available, under which identities they can be found and where they are located. There are instances where a record could belong to more than one file. Therefore, if certain subject matter can be filed under more than one identifier or name, this must be clearly indicated in the index. This is to facilitate a process referred to as cross-referencing, whereby a person using the index will be able to find a particular record by searching for it under more than one identifier or name.

For example, a particular disciplinary case letter on a certain teacher may be kept in a disciplinary action file as well as in the teacher’s file. The index should then indicate that this information can be accessed via more than one name or identifier. This type of index helps to relate one set of files and records to another. If a school head has to make a report on teachers or pupils who have been subjected to certain disciplinary action, such an index would enable the head to easily retrieve all the necessary files.

Files must be indexed in such a way that referencing and retrieving always remain easy. For example, if an individual teacher file is titled Mweene, Jason TS 12345 — here the teacher is identified both by name and a so-called Teaching Service Number (TSN) — then, when referring to this file, both the teacher’s name and number should be quoted. In this instance, it is also helpful to have an index which lists all other teacher files by name.

Now that the reader is familiar with the general activities involved in records management as a whole, it is useful to highlight the more routine tasks amongst them.

1.5 Routine activities in records management

Listed below are three important routine activities necessary to records management.

1 **Indexing.** As defined above, indexing involves recording the records as they arrive and, subsequently, where they are filed. In some cases, all incoming documents arrive at a central place, in others they do not.

2 **Check out.** In the event of records or files being lent to users, systems have to be worked out indicating where and when the files or records were lent to a user. Cards similar to book cards may be designed to enable efficient control over the flow of files. In the Zambian civil service, the most common system is one where there is space on the file cover to
indicate which record is being referred to and its destination. The person in charge of overseeing this activity can keep note of this by drawing up a ledger showing where and when the files have gone.

3 File maintenance. It is important to check the files periodically to ensure that they are in good condition, since they are prone to wear and tear. Some records may be loose and could fall out easily. They must be securely filed.

In addition to carrying out the activities mentioned above, there are other requirements necessary for effective records management.

1.6 Physical requirements

Supporting materials such as record-keeping books, equipment such as filing cabinets and logistical support for records management are necessary to facilitate better classification and storage of information. In as much as commercial products are neither available nor affordable in most school environments, a cost effective, feasible and sustainable solution should be found with regard to the design of supporting materials and equipment. In Zimbabwe, MOE forms are manually reproduced by teachers, using locally available materials, such as ordinary notebooks. Likewise, a feasible approach is to include in the teacher training modules a design/model and a step-by-step instructions on, for example, ‘how to make a pupil records book’ that would enable individual teachers to make a records book using ordinary notebook, or ‘how to make a filing cabinet’, that would enable a local carpenter, a handicraft teacher or students to construct it from locally available materials, such as wood or bamboo. These teachers and the ‘blue-prints’ will be the agents for dissemination of good practices and place the locus of initiative to the local schools and communities.

Below are listed where such physical provisions are required.

1 Record centres. This is where the active as well as the semi-active records (those that are not used daily but have information which may be referred to occasionally) are stored. These could be in a centralised or decentralised place, depending on whom the users are. In a decentralised system, some records may be in the office of the school head, others in the staff room or elsewhere. It is recommended that a decentralised system be established based on the users of the records.

2 Registries. A registry is a specially designated place for keeping written records. Although it is rare to find this at district or regional levels and even more so at school level, it may exist at ministry headquarters, depending on the availability of space. The registry is used to store active records. Registries exist in addition to records centres.

3 Archival centre. This is the storage place for inactive or dormant records with an historical value.

4 Indexes and ‘finding’ guides. These should list all the records, including the active, semi-active and archival ones.
5 **Personnel.** Keeping records is, in itself, not a difficult task but retrieving and using them is a more complex procedure. There must be personnel to manage the record centres. Such staff would need at the minimum, basic training in records management. They would have to be able to undertake tasks ranging from creating records to ensuring easy access to them. Ideally, records management personnel should be able to undertake all tasks and duties involved in records management. The importance of personnel cannot be overemphasised, given the different stages and importance of records management.

**Having read this section, you should be able to:**
- explain what the ten categories of information are that occur in record keeping
- identify and define the activities involved in keeping records
- explain the different stages in the life cycle of a record
- cite examples of the ways in which to classify records
- identify what physical provisions are required to effectively manage records and elaborate on their roles in record management
2 Standard Record Cards and Forms

2.1 Introduction

This chapter, like the previous one, explains within a general context what a standard record is. It suggests ways in which to standardise records and briefly describes how to design them before listing the characteristics of standard records.

2.2 Standardising records

Standard records are those which provide information that is uniform, comparable and easy to analyse. For record cards and forms to be standard, they must have the same kind of structure and content. The process of doing this is referred to as standardising the records. This can occur at various levels: regional, national or international. But how can one best go about achieving it?

One of the most common ways in which to standardise records is to use cards and/or forms. A good example of a standard record card/form and one which many people will have seen, is that of records found in hospitals and clinics. Every time a new patient arrives, a card is filled in which contains the name, address, details of the illness, etc, of the person. Every patient has such a record.

Similar records can be compiled in schools with the same kind of information being collected on each teacher and pupil. This would facilitate the retrieval of information on a particular teacher or pupil and enable a meaningful comparison between two or more people.

The advantage of having one record per person, as opposed to a single record for many people, will depend on the purpose of the record and the circumstances in which it is used. Should the primary objective be to have an overall picture of a number of subjects at a glance, for instance pupils in a class, with minimal information on individuals, then one record will be enough. This is referred to as a summary record, because it has information on more than one subject.

If, however, detailed information on every individual is needed, some of which may be confidential, this calls for one record per individual. Such a record is referred to as an individual record. (Examples of summary and individual records are given in Chapter 4).

Another way in which to standardise a record is to use headed paper for all letters and memoranda. Headed paper has the address and sender's details on it. This headed letter/memorandum can be given a file number. The file number would serve to indicate the origin of the letter, its subject matter and the urgency of its contents.

Teachers or pupils could be responsible for keeping records. In this instance, however, it is important to clearly indicate which person is to undertake the task and when they are to execute it. If, for example, it has to be done once a week, one will need a record with a column entry for the names of those who will be undertaking this duty, and a column for the weeks to indicate what tasks have been or
still need to be done. Should one require records to check that each person has done his/her specific task, this calls for one record per individual.

### 2.3 Designing standard records

Before designing a standard/uniform record, one must have a clear understanding of the following:

- what information needs to be collected
- what the purpose is of the information that has to be collected
- who is going to collect the information
- when the information is going to be collected
- who is going to use the information
- once collected, how the information is going to be used
- when and how often the collected information is required

The answers to the above questions will determine what kind of records are to be maintained. Be sure to include information required for compiling statistics for the school survey questionnaires. If the answers to some of the above questions suggest that:

- the information to be collected is from more than two sources
- the information is going to be comparable and consistent; and
- the information is going to be used in a similar manner

then there is a need for standard or uniform records.

The kind of information collected will also determine the design of the records, namely, what the best way is to record the various details. Depending on the complexity of the information that is being collected, it may be advisable to provide those who have to fill in the records with a set of guidelines on how to do this.

Another aspect to be considered in the design is availability and cost of the material, i.e. cards, sheets of paper, notebooks, etc. The design for a class register, for example, should enable a teacher to reproduce the format in an exercise book or other such easily available materials.

### 2.4 The characteristics of standard records

Each standard record must have certain basic characteristics. It is important, therefore, to compile an accompanying manual or set of guidelines which clarifies each of these characteristics so that those creating the records have a clear understanding of them.

The following are among the characteristics which should appear.

1. **Introduction.** It defines and introduces the specific record, stipulating what it is and what type of information it is used for.

2. **Purpose.** This states the purpose of the record card/form. As a follow-up to the introduction, it is important that the person who is going to
create and use the record understands what the record is meant for. It
should help to bring about accuracy in the creation of the records as well
as facilitate the correct interpretation of the information.

3 Target. The target refers to those people who are going to fill in the
forms and thereby create records. Careful identification of and consis-
tency concerning those who are to create records will ensure that records
are authentic and reliable.

4 Use. It identifies the people who can use the record to extract informa-
tion. Generally, records are confidential, even within an organisation or
school. There are people who are allowed to see and use certain or all of
the records. Only after certain periods of time do records become public.
Then, anyone can access them. People who are not mentioned as users
are not supposed to have access to the cards without clearance from the
school head.
While records are being used, it should always be clearly indicated how
and when they are being used. Some records, for example, are used to
provide statistical information important for educational management
and planning.

5 Content. The content provides information on the various sections/
parts of the record. This is to ensure that the person filling in the informa-
tion will not omit any parts. It also helps the school to detect any er-
rors in the records.

6 Guidelines. They inform one about how to fill in the records. The
guidelines come in two parts: definitions and instructions. The defini-
tions ensure that whoever fills in the record is certain about what exactly
is required. This is important so that all records have similar informa-
tion. Instructions give directions on how to fill in the records and there-
by help to ensure a certain amount of consistency.

7 Organisation and storage. This describes how to store and arrange the
records, namely, where they are going to be stored and in what order.

8 Retention. A retention schedule should be drawn up to indicate when
specific records have to be up-dated and appraised and what is to happen
to those records with or without an historic value. (See Chapter 2, Sec-
tion 2.4 for an example of a retention schedule). The schedule could be
general, for example, showing the time-table by date covering all the
records and indicating when specific ones are to be appraised. Alterna-
tively, it could be broken down into specific schedules according to
record types. In this case, each record will have its own schedule.
Having read this section, you should be able to:

- define what a standard record is
- point out the benefit of having standard records
- state two ways in which to standardise records
- differentiate between summary and individual records
- explain what characteristics have to be considered when designing a standard record
3 Managing Standard School Forms

3.1 Introduction

Chapter 3 looks at the various standard records that provide the basic minimum information needed for the routine management of a school. The records cited here are grouped according to the following categories:

- pupils
- teachers
- general staff
- materials
- finances

Information on the above-mentioned subjects can be recorded in different ways with varying amounts of detail, depending on a particular record's function. These different records within each category are discussed and are accompanied by actual examples of record forms.

All the record forms that are shown in this chapter are merely examples. Countries can, therefore, either use them in their current format or adapt them to suit their specific requirements.

3.2 Pupil records

Pupil records comprise a whole range of records containing information on pupils. This covers, for example, applications, admissions, academic and social welfare, etc. There are also some general records that include letters from parents, copies of letters to the parents concerning the pupils, and so on. Within the range of pupil records, it should be possible to provide a variety of information on individual pupils (both current and former) as well as on the entire pupil body.

The information contained within the records can serve a number of purposes. Some can be used to provide guidance and counselling to the pupils while other information is useful for the daily management of pupil affairs at the school. Below are examples of the kinds of information that can be collected on pupils in a variety of standard record cards and forms.

Application and transfer forms

Introduction

Application and transfer forms are used by applicants to a school to provide information on themselves.

Pupils and students are enrolled into schools in two ways. Either, from the start, they apply to enter a specific school — this may be pre-school, primary or second-
ary school, institutions of higher learning or specialised training — or they apply to transfer from another school. Although individual letters can be used to apply for enrolment, due to the number of pupils who may be applying, the use of standard forms not only facilitates the processing of numerous applicants but also makes it a more efficient process. It overcomes having to spend unnecessary time looking through hand-written application letters which may be either inadequate or too detailed. By using standardised forms the school is able to gather all the prerequisite as well as comparable information on applicants.

It is advisable that the school, to which a new entrant is applying, provides its own application forms.

In the case of a pupil applying for a transfer from one school to another, the school to which the pupil is transferring should supply the transfer-request form.

Purpose

The purpose of application and transfer forms is to enable the following:

• to provide all the information on a pupil needed by the school
• once the information has been submitted, the school head can decide on whether or not to give an applicant a place
• after a pupil has been admitted, the information on her/him may be used to create other records, for example, admission registers, pupil record cards, class registers, application tally and summary sheets

When drawing up these forms, one must take the above into account. Local needs will, however, play a role in determining the actual format and detail of the forms.

Target

Parts A and B of the ‘Example of a Completed Application Form’ are to be filled in by the parents or guardians of the pupil seeking a place at a particular school, while the head of the school to which the pupil is applying must complete Part C. The ‘Example of a Completed Transfer Request Form’ has three sections. (See below the paragraph labelled ‘Content’ for a description of who has to fill in this form’s various sections).

Use

The head of a school to which a pupil is applying will use the application and transfer request forms.

Content

On the form titled ‘Example of a Completed Application Form’, there are three parts:

• Part A contains all the particulars of the pupil
• Part B has information on the parents or guardians
• Part C is for official use by the school to which the application form will be sent
The form headed ‘Example of a Completed Transfer Request Form’ has three sections:

• information on the pupil (to be filled in either by the parents or guardians of the pupil or his/her current school head)

• a section to be signed by the current school head and district officer

• a section that is to be detached and completed by the receiving school

Guidelines
definitions
To have standardisation and consistency, one must clearly define the various concepts that appear on the form, such as religion, age and so forth.

Instructions
All forms should be accompanied by a set of instructions that explain who is to fill in the forms and how this must be done.

Organisation and storage
The school head can keep a filing folder or box for applications. The forms must be kept in the head's office and filed according to the date of receipt. The application forms can be further subdivided according to name and gender. These records could then be indexed using the same concepts, i.e. by name and gender.

Retention
Application and transfer request forms do not have to be kept for a long time. They can be disposed of after decisions regarding admissions or transfers have been made and once all the information has been entered onto the respective record cards/forms and registers.
An example of a completed application form

Application form for enrolment into grade one

The head: Juneson Zulu  Name of school: Mwami Primary

Part A
Particulars of pupil

1. Last name: Mwale
2. Other name(s): Joseph
3. Sex: Male
4. Date of birth: 5 January, 1987
5. Place of birth: Chipata
6. Language spoken at home: Chinyanja
7. Religion: Christian
8. Physical handicaps or serious illness suffered: Semi-blind
9. Weight: Height
10. Nationality: Zambian

Part B
Particulars of parent or guardian

11. Last name: Mwale (Mrs.)
12. Other name(s): Chioneni
13. Relation to pupil: Mother
14. Occupation: Self employed
15. Nationality: Zambian
16. Residential address: Tenzebantu Village, Chief Mutenguleni
17. Telephone: None
18. Business address: N/A
19. Passport number/N.R.C. No.: 123456/78/1

I certify that the information given above is correct. I also promise to ensure that my child abides by the given rules and regulations of the school.

20. Signature of parent or guardian (signature/full names/thumb print)
   Date: 4 December, 1994

Part C
For official use

1. Date application received: 12 December, 1994
2. Age of child: Six (6) years
3. Additional information about the child ..........................................
   ...........................................................................................................
4. Selected
5. Enrolment number: 123
6. Signature
7. Name of the head: Juneson Zulu
An example of a completed transfer request form

Transfer request form from one primary school to another

**Name:** Japhet Mwene Himooya  
**Education No.:**  
**Sex:** Male  
**Date of Birth:** 8 August, 1984  
**Religious Denomination:** Catholic  
**Name of School:** Tagore Primary  
**Grade:** 5  
**Contact Address:** C/O Mr Mwene Mwiinde, House Number DB 1234, Dambwa North  
**Reasons For leaving:** To stay with the uncle in Livingstone because the parents have retired to the village and could not afford school fees  
**Comments:** This is a genuine case of not being able to afford fees with the retirement and movement of the parents. The child has no alternative  

**Signature of the Head:**  
**Signature of the DEO:**  
Please detach and send back slip below to the applicant

Japhet Mwene Himooya has been accepted at Mujala Primary School  
**Head’s name:** Peter Mweetwa  
**Head’s signature:**  
**School Stamp:**
Admissions register

Introduction
This is a permanent record in which every pupil 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 pupils. Such a record is necessary so as to keep stock of school enrolments. It also becomes an important retrospective 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 pupils on aspects such as attendance lists or registers, performance records, etc, may be found in other records.

Purpose
The admission register performs the following functions:
• records all the pupils who have been admitted to a school
• gives a picture of the entire school enrolment by individual pupil. This information is useful for examining the school’s resources in relation to the number of pupils
• shows pupil movement from enrolment to the time they leave the school
• is used to fill in the school tally sheets on enrolment
• can be used for reference purposes

Target
The register should be filled in by the school head to record and keep track of information for the school reports and for individuals who may need references.

Use
The register is used by the school head and anyone in charge of keeping records for reference purposes on current and former pupils of the school.

Content
The admissions registers must have as many columns as required to collect and provide all the necessary information on current and past pupils of the school. It does not have to be very detailed if other records at the school have more detailed information. The requirements of the users should determine the level of detail within the information.

Guidelines
Definitions
There must be clear definitions of the various concepts used. For example, the term ‘departure’ may be used to refer to a situation where a pupil is leaving or has left the school where he/she is currently registered or it may be used to refer to a pupil transferring to another school because of failure or for disciplinary reasons.
Instructions
To achieve consistency and uniformity, there should be instructions on how to complete the register.
Organisation and storage
The register can be kept in the school head's office. Registers that have been discontinued or which are full, can be arranged chronologically by the year of the original entry.
One could create an index of pupils by name, giving each a serial number. This facilitates retrieval, especially since the pupils should have been entered into the register chronologically. An index is useful since, after a lapse of time, it is difficult to find individual names in the register.

Retention
Once full, the registers should still be kept in the head's office for at least one year after all the pupils in the register have left or completed a full cycle of learning, in accordance with the normal period of learning at the school. Ideally, the full registers should be kept in the head's office for a number of years: six in the case of secondary schools and eight for primary. Thereafter, the register should be moved to an appropriate storage area within the school.
An example of a completed admissions register

<table>
<thead>
<tr>
<th>Serial number</th>
<th>Date</th>
<th>Education number</th>
<th>Surname</th>
<th>First name</th>
<th>Sex</th>
<th>Date of birth</th>
<th>Nationality</th>
<th>Contact address</th>
<th>Last school attended</th>
<th>Grade on leaving</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>12/1/95</td>
<td>123</td>
<td>Banda</td>
<td>Chris</td>
<td>M</td>
<td>3/3/82</td>
<td>Zambian</td>
<td>6527 Kasangula Rd Roma, Lusaka</td>
<td>Lusaka Boys</td>
<td>Six</td>
</tr>
<tr>
<td>2</td>
<td>14/1/95</td>
<td></td>
<td>Chanda</td>
<td>Chela</td>
<td>F</td>
<td>1984</td>
<td>Zambian</td>
<td>999 Libala St. 4</td>
<td>N/A</td>
<td>N/A</td>
</tr>
</tbody>
</table>

Note: This is an example of two pupils. One is Chris Banda, who came to the new school on 12/1/1995 to continue into Grade Seven, after having been at Lusaka Boys. The second case of Chela Chanda shows a pupil who started her schooling at the current school on 14/1/1995. She did not know her exact date of birth, nor did she have an education number, because in Zambia these are only given in Grade Six. On the 5 May, 1995 she was due to leave the school because of a transferal.
Pupil record card

Introduction
The pupil record card is the most comprehensive, single record of a pupil. It contains certain particulars as well as a summary of information on every pupil attending the school.

This card should be foldable, so that it can be used also as a file in which other records, like letters, can be kept. It is preferable to have separate cards for primary and secondary schools because of the different kinds of information needed at the various levels of education, (for example, the subjects a pupil studies differ between primary and secondary school). Hence, a child who progresses to secondary school will have another card for that level. Upon transfer, it is desirable to leave the card at the school the pupil is leaving for reference purposes. Another card should be filled in at the new school. In this case, the transfer form will have to provide as much information as required about the child to the new school. The rationale behind these recommendations is that a record is created at a given place, according to the requirements of that particular school. Moreover, the school the pupil is currently attending needs to have records for its own reference purposes.

Purpose
The purpose of the card is to:

• provide summarised information about individual pupils
• show specific information regarding
  (a) the background of the pupil
  (b) the academic standing
  (c) extra curricula activities
  (d) physical characteristics
  (e) behaviour of the pupil
• provide a basis for any necessary attention the pupil may need
• supply information on a pupil for use by the schools to which the pupil may move or transfer and to provide background information for the school from which the pupil might have moved.

Target
The class teacher or school head can fill in this card. In those schools which have a guidance teacher, this task can fall to them.

Use
This card may be used by:

• the class teacher
• the guidance teacher
• the school head
**Content**

The card must cover the following issues relating to a pupil:

- identification of the pupil
- academic achievements
- details on the parents/guardians
- medical history details
- major activities and interests
- career preferences
- behavioural observations

**Guidelines**

**Definitions**

Define all the concepts which may be unclear or difficult to understand. Some concepts dealing with behaviour may require guidelines if those completing the forms are not qualified.

**Instructions**

Give clear instructions on how to fill in the various parts.

**Organisation and storage**

The pupil cards could be stored alphabetically according to the name of the pupil. In the case of similar names, use initials, education numbers (where applicable), class, year of birth, etc, to differentiate.

When the pupil leaves the school, the card can be transferred to a suitable storage area within the school.

Create an index of the pupils by name and enrolment or education number, where applicable. This will enable cross referencing.

**Retention**

After a pupil has left the school, the cards or copies thereof should be moved to a suitable storage area within the school where the cards can be stored alphabetically by name. Do not destroy the pupil record cards.
An example of a blank pupil record card

Name of pupil:
Surname........................................ Other name(s)..............................................

Date of birth ........................................

Sex ....................................................

Place of birth .................................................................

Nationality ...........................................

Name and address of school ..........................................................

..........................................................................................................................

School code........................................ Education number ..........................................

Date entered school ..............................

Name of last pre-school attended ..........................................

Residential address .................................................................

Postal address .............................................................................

Name(s) and address(es) of last school(s) attended ..........................................

..........................................................................................................................

Date of leaving previous school .................................................................
Reasons for leaving previous school...........................................................................................................................................................................................................................................................................
# Academic record

Name of pupil: ..........................................

<table>
<thead>
<tr>
<th>Subjects</th>
<th>Grade 1 Year</th>
<th>Grade 2 Year</th>
<th>Grade 3 Year</th>
<th>Grade 4 Year</th>
<th>Grade 5 Year</th>
<th>Grade 6 Year</th>
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<td>Social studies</td>
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<td>Environmental science</td>
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<td>Language</td>
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<td>Religious education</td>
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<tr>
<td>Physical education</td>
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<td>Mathematics</td>
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<td>Agricultural science</td>
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<td>Home economics</td>
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<td>Geography</td>
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<td>Civics</td>
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<td>History</td>
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<td>Days present</td>
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<tr>
<td>Days absent</td>
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</tbody>
</table>
Parents'/guardians' details:

<table>
<thead>
<tr>
<th>Name</th>
<th>Nationality</th>
<th>Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>Father:</td>
<td></td>
<td></td>
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<tr>
<td>Mother:</td>
<td></td>
<td></td>
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<tr>
<td>Guardian:</td>
<td></td>
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</tbody>
</table>

Who takes care of child’s education? Name:

Mother: alive ☐ dead ☐
Father: alive ☐ dead ☐

Number of: brothers ☐ sister ☐

Medical history:
Tick in the appropriate box

- Tuberculosis ☐
- Epilepsy ☐
- Asthma ☐
- Heart disease ☐
- Major operations ☐
- Other (specify) ☐

Major activities / interests
Please, tick or write in where necessary

<table>
<thead>
<tr>
<th>Major activities / interests</th>
<th>Grades</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>1 2 3 4 5 6 7 8 9</td>
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<tr>
<td>Physical activity</td>
<td>☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐</td>
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<tr>
<td>Artistic</td>
<td>☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐</td>
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<td>Musical</td>
<td>☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐</td>
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<td>Crafts</td>
<td>☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐</td>
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<tr>
<td>Clubs/hobbies</td>
<td>☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐</td>
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<tr>
<td>Other (specify)</td>
<td>☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐</td>
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<tr>
<td>Responsibility held</td>
<td>☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐</td>
</tr>
</tbody>
</table>
### Special behavioural observations

<table>
<thead>
<tr>
<th>Special observation</th>
<th>Observed by</th>
<th>Head or senior teacher</th>
<th>Date</th>
<th>Signature</th>
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</tbody>
</table>
Class register

Introduction
A class register is a record showing the daily attendance for each class in the school. It is also referred to as an attendance register. Such a form can be used to show the frequency of attendance of the individual pupils per week, term and year. It also indicates the size of the classes in a school.

Since the register often may be the only record with a complete account of all the pupils in each class, to which a teacher has access, it should provide the teacher with as much information as needed at a glance. If, however, the teacher has unlimited access to other pupil record cards, then the information in the register does not have to be too detailed.

Depending on the school, there should be a register for each class. For example, when a class moves into another grade, the pupils are entered into a different register. Alternatively, a class can maintain the same register when it progresses into another grade (provided pupils have not changed classes). The same register book is used, but the details of the class simply change. These two systems have different advantages.

The advantage of the former system is that individuals in a class, at any given time, can be traced easily, as long as one knows what class he/she was in at the time in question. The second system has the advantage of having to look through only one register on an individual as opposed to many, depending on the length of time the pupil was at the school. An example of the need for such a search is to find out how regularly a former pupil attended the school.

Purpose
The purpose of the class register is to:

• provide class teachers with information about the individual pupils at a glance
• show the size of each class and facilitate the comparison between girls and boys
• monitor individual pupil attendance for administrative purposes. A pupil who has a poor rate of attendance may require the special attention of the school administration
• reveal average class attendance

Target
Either the class teacher or any person in charge of attendance should fill in the register.

Use
The class teacher can use the register to monitor individual pupil as well as class attendance.

The teacher can also use the register to fill in parts of the pupil record cards. Because of its monitoring ability, the register, together with pupil record cards, can draw the school administration’s attention to irregular pupil attendance.
The school head can use the register for the general administration of the school and to complete transfer request forms.

Content
The register is made up of three parts with the following functions:
- to fill in pupil details
- to mark up attendance
- to show how regularly a pupil attended classes. In the register, this may be labelled as 'frequency'. Another way to measure this is to list the number of days a pupil was absent from class within a given week, month, year

Guidelines
Definitions
Terms and symbols used in the register must be defined clearly so that the person completing the register knows what is being asked for and can, therefore, fill in the form correctly.

Instructions
There must be agreed-upon guidelines on how to use the class register. For example, indicate: how to enter pupil names, whether alphabetically or otherwise and state if girls and boys should be entered separately or together; how to enter new pupils in the middle of the term; when attendance should be checked, so that it can reflect real attendance and thus be accurately recorded. This is important since a pupil can arrive late or only attend school for a few hours or be absent altogether. School regulations will help to determine this issue. The content and format should facilitate tallies required by the school survey questionnaires.

Organisation and storage
During the term, all class registers may be stored in the staff room, if such a room exists at a school. Wherever they are kept, it is important that teachers can have easy access to them and that they are kept secure during the vacation periods. Once they are full, the registers could be kept in the school head’s office. They can be arranged by grade, class and year.

It is important to create and keep an index of the available registers (both full and current ones).

Retention
Registers which are completely full can be kept in the school head’s office for as long as at least one pupil registered therein is still learning at that school. A year after the last pupil has left the school, the register can be moved to a suitable storage place where it can be used for reference purposes. Class registers should not be destroyed.
# Class register

Grade/class: ..................  
Year: ....................  
Month: Total number of days in session: ....

<table>
<thead>
<tr>
<th>Serial no.</th>
<th>Name of pupil</th>
<th>Status*</th>
<th>Entry date</th>
<th>Address</th>
<th>Sex</th>
<th>Date of birth</th>
<th>Name of parent or guardian</th>
<th>Month**</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
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<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* Status refers to whether a pupil is a new entrant or a repeater. Here, the teacher should write in the word repeater, where applicable, or else simply leave the column blank if this is not the case.

** All the information in columns 1-8 should only be entered once. This is the so called ‘fixed’ information. The information in column 9 onwards changes, therefore, each month should have a separate sheet of paper with these columns. These separate sheets of paper must be integrated in such a way that they tally accordingly with the ‘fixed’ information in the preceding columns.
Tally and summary sheets

Introduction
Tally and summary sheets enable one to extract and use numerical information from records. They are simply a means of analysing available information.

One can draw up many types of tally and summary sheets since they are applicable to all situations that require counting. For example, there are tally and summary sheets showing the demand for school places. Other kinds of information on tally and summary sheets include the number of applications the school received, the number of applicants accepted by the school, the number of boarders at a school and how many of these are boys and girls, the nationalities of the pupils and so on.

Tally and summary sheets draw their information from:
- application forms
- transfer requests
- admission registers
- class registers

Purpose
These sheets are useful for compiling statistical information that gives an overall picture of the school regarding the number of pupils, staff, resources, etc.

With tally and summary sheets a school is able to keep track of the demand for places and facilities. The sheets are also useful for planning purposes. For instance, should the school need to expand at a later date, they enable it to provide essential justification.

The tally and summary sheets are helpful in completing the annual data collection questionnaires from the MOE.

Target
Tally and summary sheets must be filled in by those responsible for creating records, for example, school heads (who normally create admissions records) and teachers who are in charge of class registers/attendance.

Use
The forms can be used by the school head or the person responsible for filling in the annual school survey questionnaires from the MOE.

They can be helpful to researchers who require statistical information or they can provide information to concerned organisations and/or committees like Parent-Teacher Associations (PTA), donor agencies, etc.

Content
The number of columns on a tally and summary sheet will be determined by the amount of detail required for a particular category under review. If, for example, the reader is looking for information on pupil enrolments by grade, age and sex, the tally and summary sheet would resemble the one shown below which has six columns.

It is important that the tally and summary areas be clearly marked, so that the user is able to easily find the pertinent information.

Tally and summary sheets can contain a variety of information. Ideally, they should cover all the kinds of information needed in the annual returns from the MOE, so as to facilitate data reporting.

Guidelines
Definitions
The section titled ‘tallying area’ covers the particular categories being compared. In the example given here, it refers to the number of male and female pupils within a given grade. The columns labelled ‘number of pupils’ and ‘total’ make up the summary section of the sheet. They enable the reader to see at a glance the total number of pupils within a particular grade by age and sex.

Instructions
The information on these sheets is collected from the transfer and application forms and the admissions register.
Preferably, the tallies and summaries should be prepared and completed every time applications are received.

One way in which to do the tallies is to use ‘tally marks’ to make the counting easier.

Tally marks are vertical lines or strokes, which look like this 1. They should be arranged in groups of five (four vertical strokes 1111 with a single line, like this 1 going through them). Five strokes should look like this 1111, with each mark representing one pupil.

If, for example, the number of pupils within a certain category totals 12, in the tally section they would be represented as follows:

1111 1111

After having counted the bundles of strokes, the actual number can then be entered into the summary area, which is under the column titled ‘total’ on the tally and summary sheet.

Organisation and storage
These should be kept in an appropriate file within the school head’s office so that they are easily accessible.

Retention
Once all the information has been transferred into the annual questionnaire returns, the tally and summary sheets can be destroyed.
Two examples of filled-in tally and summary sheets

(A) Grade one enrolments by age and sex

School: Mwami Primary
Date: 12 January 1994
Grade: One

<table>
<thead>
<tr>
<th>Age</th>
<th>Tallying area</th>
<th>Number of pupils</th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Male</td>
<td>Female</td>
<td>Male</td>
<td>Female</td>
<td>Total</td>
<td></td>
</tr>
<tr>
<td>Under 6</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2</td>
</tr>
<tr>
<td>6</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>HHH</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(B) Tally and summary of successful applications by grade and sex

<table>
<thead>
<tr>
<th>Grade</th>
<th>Tally area</th>
<th>Number of pupils</th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Applied</td>
<td>Taken</td>
<td>Applied</td>
<td>Taken</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Male</td>
<td>Female</td>
<td>Male</td>
<td>Female</td>
<td>Male</td>
<td>Female</td>
</tr>
<tr>
<td>1</td>
<td>HHH I</td>
<td>HHH F</td>
<td>HHH</td>
<td>HHH F</td>
<td>6</td>
<td>4</td>
</tr>
</tbody>
</table>

Note: This table shows the number of applications into Grade One. Out of the overall total of ten applications, six were male and four were female. Five of the six male applicants and three of the four female applicants were admitted.
Mark schedules

Introduction
This is a schedule which shows pupil performance in various tests and assignments, including end-of-term class tests. The record also gives the overall comparative results of each pupil.

Purpose
The purpose of the mark schedule is to:
- consistently record the performance of individual pupils
- show the comparative performance of the class
- collect information for completing the pupil record cards
- facilitate the preparation of progress reports

Target
It is the class and subject teachers who fill in these schedules.

Use
The schedules are used by the subject and/or class teachers to record performance. School heads can also use the schedules to check on individual teacher’s use of tests as part of their teaching.

Content
The schedule must include details of the following: school and class identities; the term and year of the assessment; pupil identity and the subjects covered.

Guidelines
Definitions
Concepts or terms used on this form must be explained. For example, in the sample form shown here, the phrase ‘out of’ refers to the total marks the test or examination carried.

Instructions
There must be clear instructions on how to enter the marks so as to have consistency and comparability of all the marks.

Organisation and storage
The class and subject teachers should, ideally, have folders in which these schedules can be arranged according to grade, year and term.
It is important to create an index of pupils showing the grades. If the records are kept in folders, the folders where the pupils’ names appear must be shown in the index. This enables cross-referencing (see Section 2.4.9 for an explanation of this process).

Retention
The schedules can be kept by the grade/class or subject teachers for as long as the teacher teaches that particular class/grade or subject. Thereafter, the schedules could be retained by the school head for as long as all the pupils in this record are still at the school. After the pupils have left the school, the head must check the information in the pupil record cards, using the marks schedule. Only then may the schedules be discarded.
**An example of a filled-in mark schedule**

**Secondary School mark schedule**

<table>
<thead>
<tr>
<th>Serial No</th>
<th>Name</th>
<th>English</th>
<th>Mathematics</th>
<th>Chemistry</th>
<th>Biology</th>
<th>Physics</th>
<th>Geography</th>
<th>Total marks</th>
<th>Percentage</th>
<th>Position in class</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Banda, Charles</td>
<td>80</td>
<td>80</td>
<td>90</td>
<td>75</td>
<td>60</td>
<td>59</td>
<td>444</td>
<td>75</td>
<td>5</td>
</tr>
<tr>
<td>2</td>
<td>Chifwepa, Jim</td>
<td>90</td>
<td>90</td>
<td>90</td>
<td>90</td>
<td>90</td>
<td>90</td>
<td>540</td>
<td>90</td>
<td>2</td>
</tr>
</tbody>
</table>

Note: This is an example of an end-of term test where the papers were marked out of 100.
3.3 Teacher and administrative staff records

Teacher and administrative records provide information on the personnel in a school; those who teach as well as those who do not. These records include details on the availability of personnel in terms of qualifications, age and sex. The records give an overall picture of the availability of staff.

This unit covers two types of records for teachers and administrative staff:

- the record card
- the tally sheets

Both of these are used to complete the annual data collection questionnaires.

Teacher record cards

Introduction
The teacher record card contains a summary of information on individual teachers at a school. It does not replace other administrative records like statistics forms, letters, certificates, etc, that are used for staff appraisals, but can be used along with other records to obtain certain details.

Purpose
The teacher record card provides a school head with all the necessary information about a teacher at a glance. This information allows the head to make informed decisions for planning and general administration purposes.

Target
The teacher record card is completed by the individual teachers.

Use
The school head and officials from the MOE use this card for administrative and planning purposes.

Content
The information on the card consists of personal and academic details and particulars about the schools where the teacher may have taught previously.

It is essential to regularly update the cards, especially after the following changes:

- change in marital status
- promotion to a new post
- attainment of additional academic or professional qualifications

Ideally, the teacher should fill in a fresh card every five years.

Guidelines

Definitions
These should accompany the form so that those filling it in know exactly what is being requested, especially when terminology is used which is not always clear.

Instructions
Clear instructions on how to complete the form will help to minimise the risk of errors.

Organisation and Storage
The school head must keep the teacher record cards, which should be arranged either according to the school’s own administrative system or, where it exists, a TSN, as in Zambia.
Where the TSN exists, one should create an alphabetical index of the teacher record cards showing the TSN. Alternatively, one can simply make a comprehensive alphabetical listing of all the teachers that correspond to their record cards.

Whenever new cards are filled in, the old ones should not be destroyed. Instead, the old card should be attached to the new one.

Retention
When teachers transfer, retire, resign or die, their cards should be transferred to a suitable place at the school. They should not be destroyed.

Once in the storage area, the cards can be arranged and indexed according to the TSN.
# An example of a blank teacher record card

## Part A: School/college where currently employed

<table>
<thead>
<tr>
<th>Field</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>School/college name</td>
<td></td>
</tr>
<tr>
<td>District</td>
<td></td>
</tr>
<tr>
<td>Province</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>School level (tick)</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary</td>
<td>√</td>
</tr>
<tr>
<td>Basic</td>
<td>√</td>
</tr>
<tr>
<td>Secondary</td>
<td></td>
</tr>
<tr>
<td>junior</td>
<td>√</td>
</tr>
<tr>
<td>senior</td>
<td>√</td>
</tr>
<tr>
<td>full</td>
<td>√</td>
</tr>
<tr>
<td>College</td>
<td>√</td>
</tr>
</tbody>
</table>

## Part B: Personal details

<table>
<thead>
<tr>
<th>Field</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Surname</td>
<td></td>
</tr>
<tr>
<td>Other names</td>
<td></td>
</tr>
<tr>
<td>Sex</td>
<td></td>
</tr>
<tr>
<td>Date of birth</td>
<td></td>
</tr>
<tr>
<td>Country of birth</td>
<td></td>
</tr>
<tr>
<td>Nationality</td>
<td></td>
</tr>
<tr>
<td>Languages spoken</td>
<td></td>
</tr>
<tr>
<td>National identity number</td>
<td></td>
</tr>
<tr>
<td>Passport number</td>
<td></td>
</tr>
<tr>
<td>Marital status</td>
<td></td>
</tr>
<tr>
<td>Number of children</td>
<td>Boys: ..., Girls: ....</td>
</tr>
<tr>
<td>Religion</td>
<td></td>
</tr>
<tr>
<td>File number</td>
<td></td>
</tr>
<tr>
<td>Salary scale</td>
<td></td>
</tr>
<tr>
<td>Conditions of services (tick):</td>
<td></td>
</tr>
<tr>
<td>Permanent</td>
<td>√</td>
</tr>
<tr>
<td>Probation</td>
<td>√</td>
</tr>
<tr>
<td>Contract</td>
<td>√</td>
</tr>
<tr>
<td>Date of first appointment</td>
<td></td>
</tr>
<tr>
<td>Date of last promotion</td>
<td></td>
</tr>
<tr>
<td>Position</td>
<td></td>
</tr>
<tr>
<td>Name of next of kin</td>
<td></td>
</tr>
<tr>
<td>Address</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Accommodation (tick)</th>
<th>Employer arrangement</th>
<th>Own arrangement</th>
</tr>
</thead>
</table>
Residential type: High density ☐ Medium density ☐ Low density ☐
Other specify: ..........................................................................................

Part C: Academic and professional qualification
Qualification Institution Year obtained
..............................................................................................................
..............................................................................................................
..............................................................................................................
..............................................................................................................

Teaching subject(s)* Major........................................ Minor ................................

Part D: Service
Number of years of service: Teaching................................ Total ......................

Part E: In-service training
Duration Institution Period: (from D/M/Y to D/M/Y)
..............................................................................................................
..............................................................................................................
..............................................................................................................

Date: Signature:
* For secondary school teachers only
(Complete in duplicate)
List of teachers

Introduction
This is a comprehensive listing of all the teachers in a school. It gives an overview of the total number of teachers, their qualifications and work load. The lists can be drawn up in an ordinary note book to avoid the accumulation of sheets of paper.

Purpose
The aim of the teacher list is to:
- give an overall picture of teachers in a school as regards quantity, ratio by gender, experience, qualifications and pupil population
- provide information for completing the data collection questionnaires from the M O E

Target
The list should be compiled by the school head.

Use
The lists are useful to school heads for administrative purposes since they provide information on the staff situation.

Content
The columns on the list should reflect the various requirements of the school, as well as relate to the type of information users may need.

Guidelines
Definitions
Concepts, like years of service, must be clarified so that all those completing the form have the same understanding of them.
Instructions
Giving clear instructions on how to complete the lists will result in consistency.

Organisation and Storage
In cases where the lists are not in book form, one should file the lists in such a way that the latest ones are on top. The lists must be accumulated until the book/file/folder is full.
Files which are used up should be transferred to the school’s storage area after a year. Once there, the lists can be arranged according to years.

Retention
The lists should never be destroyed because they become retrospective indexes of teachers in the school.
Two examples of lists of teachers

(A) Example of a blank list of teachers

Name of school: ................................................................. District: Province:  
Year: .................................................. Term(s):  

<table>
<thead>
<tr>
<th>Serial no.</th>
<th>Name of teacher service</th>
<th>Teaching number</th>
<th>Nationality</th>
<th>Sex</th>
<th>Years of teaching</th>
<th>Conditions of service</th>
<th>Divisions rank</th>
<th>Qu</th>
</tr>
</thead>
</table>
(B) An example of part of a completed list of teachers

Year: 1996 Term: 1, 2

<table>
<thead>
<tr>
<th>Years of teaching</th>
<th>Condi of serv</th>
<th>Div/ rank</th>
<th>Qual</th>
<th>Major</th>
<th>Minor</th>
<th>Teach subjs</th>
<th>Load per week</th>
</tr>
</thead>
<tbody>
<tr>
<td>6</td>
<td>Contract</td>
<td>2</td>
<td>B.A.</td>
<td>History</td>
<td>None</td>
<td>History</td>
<td>5</td>
</tr>
<tr>
<td>10</td>
<td>Perm.</td>
<td>1</td>
<td>M.A.</td>
<td>Geography</td>
<td>French</td>
<td>Geography, French</td>
<td>9</td>
</tr>
</tbody>
</table>

Note: In this example, the same list has been used over two terms because there was no change in staffing between the terms. The first person entered on the list is on contract (hence the number 2 noting her/his ranking) and is a History teacher with six years of teaching experience and a weekly teaching load of five hours. The second person has ten years of teaching experience in both Geography and French, is a permanent teacher (thus ranked as one) with a teaching load of nine hours per week divided between French and Geography.
Teacher tally and summary sheets

Introduction
These are sheets which provide data on a school's teaching staff. At a glance, they indicate how many teachers there are within a particular school within a given age group and by qualification. Without tally or summary sheets, one would have to go through each individual teacher record card to obtain the necessary information.

The tally sheets are very important because they facilitate the collection of information for summary sheets. Above all, they help with the collection of information which has to be sent, for example, to the MOE either annually or more frequently. It is important for a school to have available data on its staff at any given time. This is required in order to justify having additional teachers for various subjects.

The tally and summary sheets can be used either to complement or substitute the list of teachers. The advantage of having both is that the teacher list has the names of the teachers, whereas the tally and summary sheets only give an overview of the staffing situation.

The tally sheets do not have to be formally designed. They are simply a means of analysing the information and can be kept for quick reference purposes.

Purpose
The tally sheets have a twofold purpose:

- they give an overall picture of the age groups, sex and qualifications of teachers at a school (this information is important for planning purposes)
- they facilitate the completion of the annual questionnaire returns from the MOE

Target
The school head must fill in the tally sheets.

Use
The tally and summary sheets are useful to the school and other educational administrative authorities.

Content
There are three types of tally and sheets:

- one for primary schools
- one for secondary schools
- one by age for both primary and secondary schools

The first two forms show teachers by qualification, training, nationality and sex. The third form shows teachers by age group and sex.

Guidelines
Definitions
The section entitled ‘tallying area’ covers the particular categories being compared. In the example given here, it refers to the number of male and female teachers for the particular grades within a school. The columns labelled ‘number of teachers’ and ‘total’ make up the summary section of the sheet. They enable the reader to see at a glance the total number of teachers by sex, age and qualification.

Instructions
The information on these sheets comes from the teacher record cards and lists of teachers.
One way in which to do the tallies, as with pupil tally and summary sheets, is to use ‘tally marks’ to make the counting easier. (See section 3.1.5 Pupil Tally and Summary Sheets for a detailed explanation of how to do this).

**Organisation and Storage**
The school head should have a folder for teacher tally sheets that are arranged by type of tally and date. The sheets can be indexed according to the key words on the tally sheets, for example, qualification, age.

**Retention**
The tally sheets may be destroyed at the end of the year, once the information has been transferred onto the annual questionnaires from the M O E.
Four examples of teacher tally and summary sheets by qualifications and age

(A) An example of a blank teacher tally and summary sheet by qualifications - primary

Name of school: ...........................................
District: .........................................................
Province: .......................................................
Date: ..........................................................

<table>
<thead>
<tr>
<th>Qualification</th>
<th>Tallying area</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Nationals</td>
<td>Non-nationals</td>
</tr>
<tr>
<td></td>
<td>Trained</td>
<td>Untrained</td>
</tr>
<tr>
<td></td>
<td>Male</td>
<td>Female</td>
</tr>
<tr>
<td>Form 2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grade 9/grade 10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Form 4</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Full school certificate</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grade 12</td>
<td></td>
<td></td>
</tr>
<tr>
<td>G.C.E. ‘O’ level</td>
<td></td>
<td></td>
</tr>
<tr>
<td>G.C.E. ‘A’ level</td>
<td></td>
<td></td>
</tr>
<tr>
<td>College diploma</td>
<td></td>
<td></td>
</tr>
<tr>
<td>First university degree</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Master’s degree</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other qualifications</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(specify)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
(B) An example of a completed tally and summary sheet of teachers by qualifications - primary

<table>
<thead>
<tr>
<th>Qualif</th>
<th>Tallying area</th>
<th>Number of teachers</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Nationals</td>
<td>Non-nationals</td>
</tr>
<tr>
<td></td>
<td>Male</td>
<td>Female</td>
</tr>
<tr>
<td>Form 2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grade 12</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Note: The above example covers trained teachers at primary school level. It could also be used to complete the section on untrained teachers.
(C) Example of a blank tally and summary sheet of teachers by age

Name of school: ...........................
District: .................................
Province: .................................
Date: ...............................

<table>
<thead>
<tr>
<th>Age group</th>
<th>Under 19</th>
<th>19-24</th>
<th>25-29</th>
<th>30-34</th>
<th>35-39</th>
<th>40-44</th>
<th>45-49</th>
<th>50-54</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Male</td>
<td>Female</td>
<td>Male</td>
<td>Female</td>
<td>Male</td>
<td>Female</td>
<td>Male</td>
<td>Female</td>
</tr>
<tr>
<td>Tallying area</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
(D) An example of a completed tally and summary sheet of teachers by age

<table>
<thead>
<tr>
<th>Age</th>
<th>Under 19</th>
<th>19-24</th>
<th>25-29</th>
<th>30-34</th>
<th>35-39</th>
<th>40-44</th>
<th>45-49</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>M</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>5</td>
<td>4</td>
<td>4</td>
<td>5</td>
<td>2</td>
</tr>
<tr>
<td>F</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>6</td>
<td>5</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>20</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>18</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>38</td>
</tr>
</tbody>
</table>

Note: This tally and summary sheet is to be completed annually.
Administrative staff records

The availability and analysis of information on staff is made easier by the existence of cards as well as tally and summary sheets. Knowing that staff records are similar to teacher records, their design and management can resemble that of teacher records (to refresh your memory refer to the section on teacher records).
An example of a blank administrative staff record card

Part A: School/college particulars
School/college name: .................................................................
District: ..................................................................................
Province: .............................................................................

School level (tick)
Primary
Basic
Secondary
junior
senior
full
College

Part B: Personal details
Surname: ................................ Other names: ................................. Sex: ....
Date of birth: ................ Place of birth: .............. Nationality: ..............
Languages spoken: .................................................................
National identity number: ................... Passport number: .................
Marital status: ....................... Number of children: .... Boys: .... Girls: ...
Religion: .................................................................................
File number: ........................................... Salary scale: .........................
Date of first appointment: ......................... Condition of services (tick):
Permanent  Probation  Contract

Date of end of contract: ...................................
Position.................................................. Date of last promotion:..................
Name of next of kin: ................................. Address: ...................................
Accommodation (tick)  Employer arrangement  Own arrangement
Residential type: High density [ ] Medium density [ ] Low density [ ]
Other specify: ..........................................................................................................................

Part C: Academic and professional qualification
Qualification Institution Year obtained
..........................................................................................................................................
..........................................................................................................................................
..........................................................................................................................................
..........................................................................................................................................

Part D: In-service training
Duration Institution Period: (from D/M/Y to D/M/Y)
..........................................................................................................................................
..........................................................................................................................................
..........................................................................................................................................

Date: Signature: 

(C)omplete in duplicate
3.4 Materials records

These are records of the materials stocked at a school. They show the quantity and kinds of materials at the school’s disposal. The materials can be divided into:

- equipment for classrooms and offices
- books, which can be further categorised into teacher reference books and supplementary readers
- furniture

All these materials are subject to wear and tear and eventually may need to be replaced. Thus, it is important to keep stock of what is available and to note the state and condition thereof. Materials records facilitate this kind of accountability.

Stock books

Introduction

These are books used for records concerning school materials like textbooks, equipment and any teaching materials. Stock books do not necessarily cover library materials since, if a school is privileged enough to have a library, the library itself has its own method of keeping stock of its holdings by using lists of acquisitions and catalogues.

Purpose

The purpose of a stock book is to account for stocks received, dispatched and written off. It is also a record of the officers handing and taking over stocks.

Target

Stock books are completed by:

- school heads who distribute the materials to other staff
- class teachers, who distribute the materials to the pupils

Use

The stock book could be used by the same people who complete it, namely, school heads and class teachers. Additionally, educational inspectors could use it for inspection purposes.

Content

The stock books should have provisions to indicate the items recorded in detail, the date the items were received, the method of distribution and the disposals (for example, due to loss).

Guidelines

Definitions

After determining what sort of details about a particular item one wants to record, give clear definitions of the concepts that will appear on the form. For example, explain that ‘shortfall’ refers to the number of items short of the desired quantity. ‘Balance’ refers to how many items are left over within the school.
Instructions
Give clear instructions on how to fill in the stock books. The examples cited here provide an idea of the kinds of instructions that could be included.

Organisation and Storage
The stock books can be kept by school heads or class teachers. Depending on the availability of space, the stock books could also be stored in a suitable storage place at the school, where they can be arranged according to grades.

It is helpful to create an index of the materials by subject, grade, author, title or name of the materials and equipment.

Retention
Once the stock book is full a new one should be started. The old book must be transferred to a suitable storage area at the school. The books in that secure storage area could be arranged according to subject matter, class and date. It is advisable to keep the stock books in storage for as long as possible, or at least as long as there is sufficient space. In the case of a shortage of space, they could be disposed of, but only after a certain period of time.
Two examples of stock book forms

(A) An example of a blank stock book form
Stock book
Item: ...........................

<table>
<thead>
<tr>
<th>Date</th>
<th>Number received</th>
<th>From whom</th>
<th>Number issued</th>
<th>Issued to</th>
<th>Signature recipient</th>
</tr>
</thead>
<tbody>
<tr>
<td>10/06/1995</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**B) An example of a stock book completed by a school head**


<table>
<thead>
<tr>
<th>Date</th>
<th>Number received</th>
<th>From whom</th>
<th>Number issued</th>
<th>Issued to</th>
<th>Balance*</th>
</tr>
</thead>
<tbody>
<tr>
<td>1/3/1994</td>
<td>20</td>
<td>FINNIDA</td>
<td>-</td>
<td>-</td>
<td>20</td>
</tr>
<tr>
<td>4/3/1995</td>
<td>-</td>
<td>-</td>
<td>10</td>
<td>Physics teacher</td>
<td>10</td>
</tr>
<tr>
<td>5/3/1995</td>
<td>10</td>
<td>SIDA</td>
<td>-</td>
<td>-</td>
<td>20</td>
</tr>
<tr>
<td>9/4/1995</td>
<td>3</td>
<td>Physics teacher</td>
<td>-</td>
<td>-</td>
<td>23</td>
</tr>
</tbody>
</table>

*The word ‘balance’ here refers to the number of items in the possession of the head teacher.

Note: Twenty copies of this book were received by the school on 1 March, 1994. On March 4, the school head gave ten copies to the Physical Science teacher and retained ten copies. On 5 March, the school head received ten more copies of the book. In total, thirty copies of the book were sent to the school head. Out of the ten copies given to the Physical Science teacher, only three were returned to the school head. This meant that seven books were missing from the original total of ten given to the Physical Science teacher. Therefore, out of an original total of thirty books received by the school head from sources outside the school, only 23 remained as of 9 April 1995 (30 - 7 missing books = 23). This constitutes the balance of that particular book at the school.*
Inventory forms

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

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

Target
The inventory forms should be completed by the person occupying a particular office or room, for example, the class teacher. To check that the forms are completed accurately, there may be need for supervision.

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 head

Content
The inventory form should make provision for all the necessary information pertaining to the contents of an office or classroom. This means having a sufficient number of columns in which to fill in the information. Each item should be identified by name and the quantity stipulated. There should be a short description of its present condition.

Guidelines
Definitions
Define terms like ‘shortfall’ and explain what information to enter in the column labelled ‘remarks’.

Instructions
Give clear instructions on what details should be given for each item. It is also useful to explain how to update the forms when there is a change of occupancy of the room.

Organisation and Storage
One copy of the inventory could be pinned to the office or classroom door. Another copy could be filed, according to room, in the head’s office. There should be an index of inventory forms according to the rooms.

Retention
The records in the room may be pinned on top of each other as they are used up.
An example of a completed inventory form of a classroom

Room: 17
Grade: 4A

<table>
<thead>
<tr>
<th>Item</th>
<th>Date received</th>
<th>Number received</th>
<th>Number in use</th>
<th>Number repairable</th>
<th>Shortfall</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tables</td>
<td>2/3/1976</td>
<td>1</td>
<td>1</td>
<td>-</td>
<td>-</td>
<td>adequate</td>
</tr>
<tr>
<td>Desks</td>
<td>2/3/1976</td>
<td>40</td>
<td>33</td>
<td>3</td>
<td>7</td>
<td>some pupils stand</td>
</tr>
<tr>
<td>Chairs</td>
<td>2/3/1976</td>
<td>40</td>
<td>36</td>
<td>-</td>
<td>4</td>
<td>as above</td>
</tr>
<tr>
<td>Fans</td>
<td>5/7/1990</td>
<td>1</td>
<td>1</td>
<td>-</td>
<td>1</td>
<td>need two</td>
</tr>
<tr>
<td>Book shelves</td>
<td>2/3/1976</td>
<td>1</td>
<td>1</td>
<td>-</td>
<td>-</td>
<td>adequate</td>
</tr>
</tbody>
</table>

Signature & date
3.5 Financial records

Finances are essential to carrying out school activities. Like other resources, finances require strict regulation and management. Financial records need to be maintained for auditing and reporting purposes. Funding agencies and parents who make financial contributions to a school like to know how their contributions are being used. By keeping financial records the school is able to make this information available.

General revenue, pupil contributions and expenditure

Introduction
Financial records provide information on the flow of a school’s financial resources, both into and out of the school.

Purpose
Financial records reflect a school’s revenue. They record the finances paid to the school by pupils as well as any other funds which the school may have received or generated. They also detail a school’s expenditure/financial outputs.

Target
The task of completing the financial records falls to the school head or a person appointed either by the school or the MOE to undertake this duty.

Use
The forms are used by:

• the school head
• auditors (officials who are appointed to examine the accounts)
• the school bursar (the person who manages the school’s finances)
• school management boards (in the case of private schools, for example)

Content
School finance records cover three different topics:

• general revenue
• pupils’ contributions
• expenditure

Guidelines
Definitions
Define the categories of information that appear on the record form. For example, a term like ‘production unit’ (PU) refers to the body responsible for raising funds for the school. In some countries, this may also refer to the fund to which pupils make a contribution.

Instructions
The person completing the various financial forms must have clear instructions on how to do this since much depends on the policy of a particular school.
Organisation and Storage
The records should be kept in the school head’s office. At a school, where there is someone other than the school head assigned to complete the form, both this person and the school head should have a copy. The records can be filed according to the year and term.

Retention
Once all the information on the records has been entered into the revenue and expenditure section of the annual data-collection questionnaire, the records can be placed in a suitable storage area at the school. They can be kept there for two years or, if the school has a serving PTA committee, for a period of two terms of service of such a body.
Examples of three financial records

(A) An example of a completed general revenue record (US $)
School name: Mwami Primary
Term: 1st
Compiled by: V. Chifwepa

Signature........................................ Date: 10 January 1995
Checked by: E. Nguni
Signature........................................ Date: 30 January 1995

<table>
<thead>
<tr>
<th>Serial no.</th>
<th>Source</th>
<th>Prod. unit</th>
<th>PTA fund</th>
<th>Other funds</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Government</td>
<td></td>
<td>200 000</td>
<td>200 000</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>PTA Committee</td>
<td>6 000</td>
<td>6 000</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

6 000 200 000 206 000

Note: This example shows two sources of funds to the school: the government and the PTA.

(B) An example of a completed pupil funds record (US $)
School name: Mwami Primary
Term: 1st
Compiled by: V. Chifwepa

Signature........................................ Date: 10 January 1995
Checked by: E. Nguni
Signature........................................ Date: 30 January 1995

<table>
<thead>
<tr>
<th>Serial no.</th>
<th>Name</th>
<th>Nationality</th>
<th>Prod. unit</th>
<th>Sports fund</th>
<th>Board fund</th>
<th>PTA fund</th>
<th>Other funds</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Banda, C</td>
<td>Zambian</td>
<td>5 000</td>
<td>2 000</td>
<td>10 000</td>
<td>6 000</td>
<td>20 000</td>
<td>43 000</td>
</tr>
<tr>
<td>2</td>
<td>Chifwepa,V</td>
<td>Ugandan</td>
<td>5 000</td>
<td>2 000</td>
<td>10 000</td>
<td>6 000</td>
<td>20 000</td>
<td>43 000</td>
</tr>
</tbody>
</table>

Total 10 000 4 000 20 000 12 000 40 000 86 000
(C) An example of a completed expenditure record (US $)

School name: Mwami Primary  
Amount available: 200 000

Term: 1st
Account name:  
(Indicate whether PTA, PU, School fees, etc.)

Compiled by: V. Chifwepa  
Signature:  
Date: 10 January 1995

Checked by: E. Nguni  
Signature:  
Date: 30 January 1995

<table>
<thead>
<tr>
<th>Serial number</th>
<th>Date</th>
<th>Expenditure</th>
<th>Amount</th>
<th>Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>23/3/1995</td>
<td>Building sand</td>
<td>50 000</td>
<td>150 000.00</td>
</tr>
<tr>
<td>2</td>
<td>25/4/1995</td>
<td>Labour to carry sand</td>
<td>25 000</td>
<td>125 000.00</td>
</tr>
</tbody>
</table>
Financial summaries

Introduction
Financial summary records contain the essential information from the revenue and expenditure records. They can, therefore, at a glance, give an overview of a school’s revenue and expenditure details. These summary records provide the school administration with a financial summary of each term and year.

Purpose
The financial summary records give a general account of revenue and expenditure activities undertaken over a period of time. Normally the period is restricted to quarterly or annual reviews at the end of each year. The summaries also serve as a checking system for the specific financial records.

Target
The school finance officer or bursar fills in the financial summaries. If a school does not have such an officer, the school head completes the record.

Use
The forms can be used by the financial officer or another person, for example, the school head, to work out what the school’s financial transactions were for a specified period of time and for determining the current financial situation of the school. It is also useful for completing the pertinent section of the annual school questionnaires.

Content
There are two types of financial summary forms:

- one for general revenue
- one for expenditure

The summary form for revenue reflects all the incoming funds over a specified period. The one for expenditure shows financial output, also over a period of time. Both these summary forms draw their information from general revenue, pupil contributions and expenditure records.

Guidelines
Definitions
Define those words whose meaning may not be clear. For example, terms such as ‘mode’ or ‘document number’ refer to any document that may have been received as proof of a transaction having taken place. This includes receipts, vouchers or letters.

Instructions
These should explain how to complete the form if it is very detailed.

Organisation and Storage
The forms must be kept in the office of the school head. In the case of there being a financial officer, one copy should be kept in her/his office and another one in the school head’s office.

To facilitate reference and retrieval of the forms, they should be arranged by date or term and year.
Retention
The forms should not be destroyed until the information has been transferred into the annual questionnaire returns. If the information is not available on any other record, it should not be destroyed.
Examples of two kinds of financial summary records

(A) An example of a completed general revenue summary record (US $)

<table>
<thead>
<tr>
<th>Date</th>
<th>Document no.</th>
<th>Gov. grant</th>
<th>Pupil fees</th>
<th>PTA</th>
<th>Prod. unit</th>
<th>Other fund</th>
</tr>
</thead>
<tbody>
<tr>
<td>8/1/96</td>
<td>GEN REV 2/1</td>
<td></td>
<td></td>
<td>22 200</td>
<td></td>
<td></td>
</tr>
<tr>
<td>28/2/96</td>
<td>PUCON/1</td>
<td></td>
<td></td>
<td>190 000</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3/4/96</td>
<td>EDUC/22</td>
<td></td>
<td>100 000</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Total</strong></td>
<td>100 000</td>
<td>190 000</td>
<td>22 200</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(B) An example of a completed expenditure summary record (US $)

<table>
<thead>
<tr>
<th>Date</th>
<th>Mode or document no.</th>
<th>Salaries teachers</th>
<th>Admin. staff</th>
<th>Materials</th>
<th>Consumable goods</th>
<th>Others</th>
</tr>
</thead>
<tbody>
<tr>
<td>21/1/96</td>
<td>Payroll</td>
<td>3 222 000</td>
<td>9 998</td>
<td></td>
<td></td>
<td>567</td>
</tr>
<tr>
<td>3/3/96</td>
<td>Rec 45/78</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Total</strong></td>
<td>3 222 000</td>
<td>9 998</td>
<td></td>
<td></td>
<td>567</td>
</tr>
</tbody>
</table>
Having read this section, you should be able to:

• list the five basic categories of standard records necessary for routine school management
• identify the different records within each one of the five categories and describe their functions
• specify how to go about organising and storing the different school records
• draw up examples of the various record forms
4 The School Records Management Cycle

4.1 Introduction

In this chapter the reader is shown the various stages within the management cycle of school records as well as the flow of records. The discussion then goes on to give a step-by-step account of the different activities within a school calendar year that have a direct bearing on school records management. The intention is to show the reader how the records management cycle is linked to the activities and management of a school. It also provides the reader with an idea of the kind of timetable needed for information preparation.

Records management, in general, is influenced by the work culture and organisation of the particular parent body in which it functions. Take for example, the process of record creation. This follows the same pattern as the movement of information within a system. For instance, in a chain of command, the points where records are created and the subsequent movement of the records, will be in accordance with the line of command. Therefore, if a bureaucracy is such that an officer cannot communicate directly with a certain office, there will be no movement of records between those two points.

In this way a system’s structural organisation influences the creation and movement of records. Hence, it is important that the records management cycle (that is, their creation, use, movement and eventual storage or destruction) be ‘in step’ with the general activities and management cycle of the parent organisation, for example, the school. For this to happen, it is vital to have an understanding of the parent organisation’s mode of operation. This will enable one to recognise the various activities which give rise to the creation of records.

The records management cycle must be ‘in step’ with the general activities and management of a school.

Before examining the various activities within a school calendar year linked to record management, it is important to understand the record management cycle and actual movement of records.

4.2 Record cycle and flow of records

This section shows the path through which each record passes, commencing with its creation and terminating with its eventual retention or disposal, depending on the type of record.

Each step in the cycle shown below is linked to the preceding one. What happens at each stage depends upon what the records were created for, who created them, when they were created and how many were created.
It must also be clear who is permitted to consult the records because this has a bearing on where they will eventually be kept. The period of time that the records will be kept depends upon their value and usefulness.

**A record cycle**

<table>
<thead>
<tr>
<th>Creation</th>
<th>Use</th>
<th>Storage</th>
<th>Appraisal</th>
<th>Retention</th>
</tr>
</thead>
<tbody>
<tr>
<td>(1)</td>
<td>(2)</td>
<td>(3)</td>
<td>(4)</td>
<td>(5)</td>
</tr>
<tr>
<td>What record</td>
<td>Who</td>
<td>Where</td>
<td>Time frame and for how long</td>
<td></td>
</tr>
<tr>
<td>Why</td>
<td>How often</td>
<td>How</td>
<td>Historical value</td>
<td></td>
</tr>
<tr>
<td>Who</td>
<td>(School head, teacher, etc.)</td>
<td></td>
<td>Finding guide</td>
<td></td>
</tr>
<tr>
<td>When</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Quantity</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The following illustration of the flow of records has a two-fold function. It shows:
- the movement/flow of records from the time of their creation, through their active stages, up to the moment they enter suitable storage areas
- the way in which the records can be used
We now take a step-by-step look at those activities within a school calendar year that are linked to the record management cycle.

4.3 A proposed time-table for information preparation

School activities are closely linked to the school calendar. When a school opens for the first term or semester, certain records are created. At the start of the first term, the pupils report to the school where they have to register. To be ready for the arrival of the pupils, the school must make certain preparations in advance of the start of the first term. Ideally, the preparations should occur towards the end of the previous school year.

Amongst these preparations are the acquisition of appropriate stationery and materials and the renovation and repair of classrooms and furniture for classroom work. In the case of boarding schools, boarding facilities must be in place. The school authorities have to ensure that amenities, like the water supply systems, ablution facilities, etc., are all functioning. These activities must be entered into a calendar that indicates clearly which activities are to be done and at what specific times of the year.

Step one: school activities prior to the start of the first term

The school calendar discussed here, is calculated on the basis of January being the start of the new school year and December its close.
In January, new entrants and returning pupils report to the school. Prior to that, however, the school has to have made certain preparations in order to be ready to commence by January. How soon do these preparations have to start? What matters need to be examined?

Around October/November of the previous year, schools begin to receive application forms from new entrants, for example, into Grade One. It is then that the school authorities need to know how many new entrants the school will be able to enrol the following year.

The authorities also have to take stock of what resources are available and what materials will be needed in the new school year so that, where purchases have to be made, these can be done before the new school year begins. Such preparations are best made in December, the close of the school year.

To do all this successfully, the authorities have to consult various existing records. Additionally, the preparation process also results in the creation of records, for example, inventories, stock books, etc, as and when items are acquired.

**Step two: the first term**

As the year progresses, attendance registers are marked, new teachers arrive (who have to be accommodated in terms of housing and classroom space) and certain reports are made to various authorities, etc. In Zambia, for instance, where the school year begins in January, by the end of March (the third month into the start of the new school year) schools have to complete and return the annual data questionnaire (which reports on all school statistics like the number of teachers and pupils and their ratios, buildings, materials, finances, etc.) to the MOE. To do this, schools need to have a work schedule. They also have to consult all their records and prepare summaries of the required statistics. It would be very difficult to prepare these annual reports in the absence of records.

It is also around the end of March, in the Zambian example, that schools should have received their annual grants from the MOE. Those pupils who have to sit examinations will have paid their final examination fees.

By April, the end of the first term, pupils will have written their end-of-term tests. Graduating pupils will have made their college and further education selections. In readiness for the following term (about a month after the closure of the first term) schools need to take stock of their facilities.

**Step three: the second term**

During the second term there are many seasonal activities, amongst which are sports competitions between schools. By the end of the second term, in August, the final year pupils will have written their mock examinations in preparation for their final examinations.

**The end of the scholastic year**

By the time the school year ends in December, schools must be able to report:

- how many pupils they had
- how many of them were boys and girls
• what their general performance was like; how many pupils left the school and why
• what percentage of the available school resources were used

Such information is vital for planning and making concrete preparations for the following academic year as well as being useful for reference and research purposes. As such, it must be readily available.

Summary
The above description shows that, throughout the year, the school carries out a number of routine tasks. These include pupil assessment and guidance, marking the attendance registers, production of summary reports at the end of each term, etc. There are also non-routine activities such as the recruitment of new teachers, transfer of pupils back and forth and, in some instances, the construction of certain buildings.

During the course of all these activities, records are generated and consulted. Those who are in charge of the records must always know which records are being created and consulted and when this is happening. To help them in this task, it is good to draw up a records activity calendar.

4.4 Records activity calendar

Here is an example of a records activity calendar indicating the necessary activities for the creation and appraisal of various records. The calendar’s aim is to alert the responsible personnel as to what action is needed and when.
## Activity calendar

<table>
<thead>
<tr>
<th>Records Type</th>
<th>Jan</th>
<th>Feb</th>
<th>Mar</th>
<th>Apr</th>
<th>May</th>
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</table>

**Key:**
- Record creation and appraisal
- Production of tally summaries and completion of annual questionnaires
Having read this section, you should be able to:

- list the different stages in the record management cycle
- draw up a school calendar based on the academic year followed in your country
- name the types of standard school records that are required at various stages of the school calendar year
- illustrate the movement and usage of records within your country
Conclusion

This unit sets out to explain what records are and why they are important for effective information management at school level.

It commenced by discussing records management within a general context, thereby familiarising the reader with the different categories of information common to record keeping, as well as highlighting the activities, practices and physical requirements involved in the process.

The unit discussed the characteristics of standard records and briefly proposed how to design the records, before describing in detail and giving examples of five standard records essential for routine school management.

Finally, it looked at the records management cycle and the flow of records and suggested a timetable for information preparation based on a school calendar.

The aim of this unit will have been achieved if, after having gone through it, the reader

- recognises the crucial role of school records in information management
- can explain what is involved in the records management process
- is able to demonstrate how to go about realising this within the context of her/his particular school


4 In the event of the MOE not being able to provide all the record forms to schools, the latter should produce their own

5 See section Pupil records: tally and summary sheets for an explanation of a tally sheet

6 See section Definition of activities: indexing for an explanation of cross-referencing
## Abbreviations

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
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<tbody>
<tr>
<td>DEO</td>
<td>District Education Officer</td>
</tr>
<tr>
<td>ED</td>
<td>Education</td>
</tr>
<tr>
<td>GCE</td>
<td>General Certificate of Education</td>
</tr>
<tr>
<td>MOE</td>
<td>Ministry of Education</td>
</tr>
<tr>
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<td>Number</td>
</tr>
<tr>
<td>NA</td>
<td>Not Available or Not Applicable</td>
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<tr>
<td>PTA</td>
<td>Parent-Teachers Association</td>
</tr>
<tr>
<td>PU</td>
<td>Production Unit</td>
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<tr>
<td>PEO</td>
<td>Provincial Education Officer</td>
</tr>
<tr>
<td>SCH</td>
<td>School</td>
</tr>
<tr>
<td>TSN</td>
<td>Teaching Service Number</td>
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<tr>
<td>UNESCO</td>
<td>United Nations Educational, Scientific and Cultural Organisation</td>
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