

Chapter 5: Roll Returns, Record Keeping, and Resourcing Audits

Overview

Introduction

This chapter is about school roll returns, auditing the roll returns, and the records boards must keep of their rolls, enrolment and attendance.

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5-1 Roll returns

Introduction

The Ministry of Education carries out statistical collections (referred to throughout this document as roll returns) from schools in New Zealand as at 1 March, 1 June, 1 July and 1 September each year.

Roll returns for all students are taken on 1 March and 1 July.

Roll returns for Year 9-15 students are also taken on 1 June and 1 September.

Roll returns are generated either from the school's Student Management System (SMS) or manually.

Further information on the process for this is provided in the *Roll Returns Guidelines*, available at

www.educationcounts.govt.nz/technical_info/guidelines

What is the data used for?

The Ministry uses the data from roll returns:

- to calculate boards' operational funding and staffing entitlements
 - to support policy analysis and decision-making
 - to monitor the outcomes of the New Zealand education system
 - for national and international reporting purposes.
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Accuracy of roll returns

Roll returns must be accurate and boards need to retain documentation to support the information provided in the roll return for audit purposes.

If the person responsible for preparing the roll return is believed to have falsified school records, the Ministry may lay a complaint with the Police or take legal action.

Collecting the roll return data

Boards must ensure that roll return data is prepared well ahead of the date the return is due to the Ministry. Boards need to:

- collect the student enrolment and other data items as detailed in the *Roll Returns Guidelines*, available at www.educationcounts.govt.nz/technical_info/guidelines
 - enter/store this information in their Student Management System (SMS) (if one is used for roll returns) and update ENROL
 - check carefully that the student data has been correctly entered into the SMS and ENROL systems
 - determine which students should be counted in which parts of their roll return. Refer to: www.educationcounts.govt.nz/data_collections
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Roll returns may be audited

Roll returns may be audited. Boards need to keep documentation to support the information they provide in the roll return.

5-2 Counting students for the roll return

Roll return requirements

For a student to be included on a Roll Return, the essential requirement is that the student is enrolled for tuition, meets the eligibility criteria of being a domestic student (see Circular 2010/01 at www.minedu.govt.nz/circulars for detailed definitions) and is attending the school for tuition on the date of the roll count.

Counting absent students on the roll return

Students who are absent on the roll count day may be counted on a roll return for resourcing purposes under the following circumstances:

If...	and
<p>for medical or domestic reasons students are absent from the school on the count date</p>	<p>the board has:</p> <ul style="list-style-type: none"> • a medical certificate from a registered medical practitioner, or • a statement from a social worker or counsellor, or • a letter from the parent/guardian justifying the student's absence from school, Note: such statements must confirm the temporary nature of the absence and the expectation that the student will be returning to the school for tuition within a specified time frame. <p>or</p> <p>the student has returned to school before the form is to be returned to the Ministry.</p>

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5-2 Counting students for the roll return, continued

Counting
absent
students on
the roll
return
(continued)

If...	and...
a student has been suspended for a specified period, but only where the suspension period has been fixed to finish during the current school year	the board can provide documentary evidence that it is actively involved in the student's reinstatement to the school.
a student is temporarily overseas , and their absence will not exceed 15 consecutive weeks in the current school year	the board can provide documentary evidence of the student's intention to return to the school.
a student is attending an activity centre	the board can provide copies of the activity centre's attendance record on a monthly basis, verifying that the student has been attending for tuition.
a student is attending a health camp	the board can provide documentary evidence from the health camp verifying the student's acceptance of a place at the camp for a specific period.
a student has high health needs and has been admitted to the roll of a regional health school	the board has a letter from the regional health school that confirms the student's admission to their roll.
the student is an overseas exchange student	the student is in New Zealand at the time of the roll return. (However, if both parties to the exchange are attending the school on the count date only one student may be counted).
the student attends more than one school	is counted on the roll of the school where the majority of instruction occurs. (However, boards of trustees may exchange resources to compensate for time a student spends at another school).

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5-2 Counting students for the roll return, continued

Students attending off-site locations

A number of schools, particularly secondary schools, have groups of students who are enrolled but are not part of the school's mainstream and may be attending at off-site locations.

These students may be included on the roll return for resourcing purposes under the following circumstances:

If...	and...
the board has an off-site class or an alternative provider	<ul style="list-style-type: none"> • the board has amended the charter to include the details of the off-site arrangements • the board can provide the record of its authorisation (under Section 71 of the Education Act) for each student to attend a course of education off-site • the board can provide a copy of the attendance registers, maintained by off-site providers for each term of the current school year, which have been regularly sent to the school.
a student is on work experience	<ul style="list-style-type: none"> • the board has approved a written document outlining practices to be followed in relation to work experience for students in its school • the board can provide appropriate written consent, including consent from parents or caregivers for students under the age of 16 • the board can provide a written agreement between each student, the board and the employer that covers the following: <ul style="list-style-type: none"> - the knowledge and skills to be attained and the assessment method - the supervision to be provided to the student and the student's attendance and hours in the workplace, and the applicability of school and workforce rules - the procedure for early withdrawal (if necessary) from the work-based learning or work experience. <p>The agreement must also stipulate that:</p> <ul style="list-style-type: none"> - the student concerned is not paid and is not required to join or belong to a union - the student will not undertake work that is arduous or dangerous in relation to the student's age or stage of development. - the student is treated as if they are attending school and the board can provide evidence that they are monitoring attendance as required by appropriate regulations.

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5-2 Counting students for the roll return, continued

If...	and...
<p>a student is enrolled in student component funded tertiary education</p>	<ul style="list-style-type: none"> • the board can provide documentary evidence that each student under 16 enrolled at a tertiary education institution has been individually assessed and found to be in need of a specific educational opportunity or there is a particular reason • if the student is over 16 and both of the following conditions have been met: <ul style="list-style-type: none"> – the student is not required to be absent from school during school hours to undertake the tertiary study, and – the student has a letter from their principal confirming that the principal is satisfied that the student is capable of undertaking the tertiary study as well as the student’s secondary study. • if the student is required to be absent from school during school hours, then the student must be claimed as a part-time student with the fulltime equivalent (FTE) claimed reflecting the tuition provided by the school. <p>Note: multiple exemptions of numbers from the same school will not be accepted as valid tertiary enrolments.</p>

Students who cannot be included on the roll return

Boards must **not** include the following students on the roll return for resourcing purposes:

- students who have enrolled at the school but have not had their first day of attendance on or before the count date
- students who have changed schools cannot be included on two different rolls, attendance for tuition is the essential criteria
- students who are going through the school’s leaving process at the date of the roll return, but had their last day of attendance for tuition prior to the roll return date
- students who are being homeschooled
- international fee-paying students
- students who were excluded before the count date and who are attending Alternative Education programmes. In this instance the student type should be changed from regular enrolment (RE) to alternative education (AE) in the school’s Student Management System.

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5-2 Counting students for the roll return, continued

Preparing roll returns

Comprehensive information about roll returns and detailed instructions on how to complete them can be found in the *Roll Returns Guidelines* issued by the Ministry's Data Collection Unit. These can be found on the Ministry's website at www.educationcounts.govt.nz/technical_info/guidelines

For further queries about roll returns, please contact the Data Collection Unit on 04 463 8070.

5-3 Register of daily attendance

Attendance registers are official documents

Daily attendance registers, whether electronic or manual, are official documents providing information on a school's roll number and the year-level of students. Daily attendance registers are subject to auditing because they support the information provided in the school's roll return.

Attendance registers must be retained

Daily attendance registers must be retained in the school for a minimum of seven years from the date of the last entry. After seven years, the registers may be destroyed with the approval of the board of trustees of a state or integrated school.

Attendance register requirements

Attendance registers must be kept on either:

- an *E19/1 Form* – a paper register completed manually, or
 - an approved Electronic Attendance Register (see 5-5 *Electronic Attendance Registers* for more information).
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Attendance regulations

It is a requirement under regulation 11 of the Education (School Attendance) Regulations 1951 that on the day on which a principal first knows that a student has left the school, the principal shall record that the student has left, noting the student's last day of tuition.

The last day of attendance is:

- regarded by the Ministry as the leaving date of the student
 - the basis for determining whether the student will be included in the roll return for resourcing purposes (rather than the completion of a leaving clearance form and/or formal notice of withdrawal at a later date, as these are simply confirmation that the student has left).
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The 20 day rule

Regulation 11 also requires a principal to record that a student has left the school when the student has been absent for any period of **20 consecutive school days**, unless the principal has been informed that the student's absence is only temporary. Documentary evidence of such notification must be retained for audit purposes.

Updating the student type in the student management system

The student type should be changed from regular enrolment (RE) to not attending (NA) in the student management system if a student:

- who is absent on the roll count date has been absent for 20 consecutive days before the count date
- does not meet the requirements for being included on a roll return, e.g. a student that is excluded but not yet enrolled at another school.

This allows the student to remain on the school roll for administrative purposes, but the student will not be included in the school's roll count.

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5-3 Register of daily attendance, continued

ENROL

The following table outlines the action in ENROL the principal must take when a student leaves the school.

If...	then...
<ul style="list-style-type: none">• the principal has been advised that a student is no longer attending the school, or• a student has been absent for 20 school days without the principal being informed that the absence is only temporary, or• a student has been absent for less than 20 days but the principal has reason to believe they will not return to the school	<ul style="list-style-type: none">• the principal must ensure that the teaching and learning notes are included on the student's ENROL record and that any supporting information has been kept on the student's file in the school (ENROL is flagged to indicate the notes exist and then the new school must request them), and• the principal must ascertain the last day of attendance for tuition at the school and ensure that the student's record in ENROL is updated with that information within five school days.

If the student is domestic and under 16 years old, a Non-Enrolment Truancy Services (NETS) process will be implemented within ENROL, based on the last day of attendance for tuition.

5-4 Manual attendance registers (E19/1)

Introduction

The approved form for a manual attendance register is the *E19/1 Form*. This form must be used to record attendance unless the board has approval from the Ministry to use an electronic attendance register.

Completing a manual attendance register

When completing the E19/1, you should:

- include only those children who have reached the age of five
 - write the student's full legal name, surname first, with 'known as' names shown in brackets
 - enter the student's Ministry Funding Year Level in the classification column
 - enter the dates, day and month, at the head of the attendance column under Week
 - mark attendance with permanent markings in both the morning and afternoons with X, / in the mornings and \ in the afternoon
 - use 'a' to show absences
 - cross out any mistakes and correct it in pen. Do not use white out for corrections.
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Using the remarks column

Use the remarks column to, for example:

- record the date students start if they commence during the term
 - note the course code or location of students on board-approved courses, visits, or work experience
 - note the duration of students' stay at health camps
 - note the length of time students were absent while suspended
 - note the expected date of return of students on extended absences while overseas.
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5-4 Manual attendance registers (E19/1), continued

Recording student suspensions

A student who is suspended should remain on the attendance register and be marked absent until the day on which the student returns to tuition at the school.

Following a suspension some students do not return to school. These students should remain on the register until the earliest of:

Students under 16 years	Students 16 years and over
<ul style="list-style-type: none">• the day the student is enrolled at another registered school• the day the student is given an exemption under Section 22 of the Education Act.	<ul style="list-style-type: none">• the day the student is enrolled at another registered school• the day on which the student is expelled from school• the first day of January after the student's 19th birthday• the day on which the student leaves school.

Recording part-time secondary and adult students

Boards must keep attendance records for all secondary school part-time and adult students in a separate register. In addition to the name of each student, the register must show the number of hours of class contact time per week, and the subjects taken.

5-5 Electronic attendance registers

Introduction Boards must have Ministry approval to use an electronic Attendance Register if they wish to use an electronic attendance management system. The use of electronic Attendance Registers is optional. Boards may continue to use the E19/1 attendance registers to record attendance manually.

Applying to use an electronic attendance register Boards intending to use an electronic attendance register must apply for approval to do so.
The *Electronic Attendance Register Application Form* is available on the Ministry's website at www.minedu.govt.nz/resourcingforms
For information about the electronic attendance register application and approval processes refer to Ministry circular 2010/19 available at www.minedu.govt/circulars

Ministry-approved Student Management Systems (SMS) Ministry approval to use an electronic attendance register will only be granted to schools using a Student Management System (SMS) that has data sharing approval for use as an electronic attendance register.
Information on Student Management Systems is available on the Ministry's website at www.minedu.govt.nz/SMS

Data must be auditable Applications for approval to use an electronic attendance register must demonstrate that the electronic attendance register the board will be using and attendance processes it will follow provide accurate attendance data, and meet the Ministry's auditing and reporting requirements.

5-6 Enrolment eligibility

Policy

All children aged between five and nineteen have a right to enrol in a state school if they are a domestic student or an approved exchange student. Boards are required to check the eligibility status of all students before enrolment and declare them correctly on roll returns.

Audit implications

Because a large part of a board's resourcing is based on roll information, during audits the Ministry's resourcing auditors look for proof of students' eligibility status as a way of ensuring boards are correctly resourced.

It is critical that boards verify the eligibility status of all students being claimed as domestic students for funding purposes.

Documentation required at enrolment: Domestic students

Boards need to attach a copy of all relevant documents such as birth certificate or passport to the student's enrolment form. If the student is eligible as a NZ citizen, NZ resident or Australian citizen, this only needs to be done if the board is the first in New Zealand to enrol that student.

Documentation required at enrolment: International students

Boards need to attach a copy of all relevant documents such as passport and student visa/permit or a limited purpose permit to the student's enrolment form. The board must have a process in place to monitor the expiry dates for all student visas/permits or a limited purpose permits for international students.

More information

The circular 2010/01 - *Eligibility for Enrolment in New Zealand Schools* - has specific information about how to determine a student's eligibility status and what documentation is needed.

It can be found on: www.minedu.govt.nz/circulars

5-7 The Resourcing audit visit

Purpose of the resourcing audit

The Ministry has a team of Resourcing Auditors who visit schools to audit their roll returns. The purpose of the audit is to ensure that the board is receiving the correct funding and staffing entitlement.

Audit process

If a school has been selected for audit they will be sent an audit visit letter by an auditor to advise:

- the date, time and duration of the audit
- the documentation that the auditor will need to see during the audit.

During the audit, the auditor will:

- need a quiet space to work, with access to a staff member who will be able to answer questions
- require access to a computer and the school's electronic SMS if the school has approval to use an electronic attendance register
- require access to a computer with ENROL to confirm students' starting and leaving dates
- require access to the records and other information requested in the audit visit letter sent prior to the visit.

At the end of the audit the auditor will provide a verbal report to the principal (or the principal's delegate) summarising the audit findings. This will be followed up with a written audit report.

Roll, staffing and funding adjustments

If the resourcing auditor determines the school roll has been under or over stated, the school's funding and staffing entitlements will be adjusted to that of the audited roll and future funding will be corrected. Changes to schools' staffing entitlements will affect their banking staffing position.

Appeals

The board of trustees can appeal any audit finding in the report. Boards have **20 working days** from the date of the written report in which to lodge an appeal.

The letter of appeal should be addressed to:

The Manager
Monitoring
Resourcing Division
Ministry of Education
PO Box 1666
Wellington 6140.

5-8 Documentation required for the audit

Introduction The main focus of the audit will be the school's roll returns.

The Full School Audit Roll The Full School Audit Roll is an alphabetical list of all students attending the school on the roll return date. It is used to confirm that all students in the school have been included on the roll return, and to identify students other than full-time regular students. Boards should print the Full School Audit Roll and retain it with a copy of the roll return sent to the Ministry.

Documentation required The resourcing auditor will require access to the records outlined below:

- the school's copies of roll return forms
- E19/1 manual registers for the current school year OR electronic attendance registers for every class/group printed at the end of each term of the current school year
- alphabetical list of all students attending the school on the roll return date
- audit class lists
- student enrolment forms (including verification of eligibility)
- staffing entitlement notices
- a list of admissions and leavers
- schools with adult students: details of the adult students and their courses, attendance registers for all adult students for each of their courses
- schools receiving Ongoing and Reviewable Resourcing Scheme (ORRS) funding: copies of the ORRS notification letter(s)
- schools with international fee paying and exchange students: details of international fee paying and exchange students, including immigration and insurance documentation, and evidence that the school is currently a signatory to the Code of Practice for the Pastoral Care of International Students
- schools receiving Māori Language Resourcing (Levels 1-4b): a list of the students enrolled in a Māori Language Programme (Level 1-4b) on the roll count day and the level they were working at
- for schools receiving English for Speakers of Other Languages (ESOL) Resourcing: the Status List showing students for whom these resources are provided
- schools with secondary students: *Secondary Student Leaving Clearance* forms and a list of students in Years 11, 12 and 13, with details of the courses they were taking on the roll return date
- schools that have students enrolled under the Alternative Education policy: for each student a copy of the approved Alternative Education Verification Form
- schools that have students attending off-campus or at satellite schools (for example, Alternative Education, Centres for Extra Support, Activity Centres): a copy of the relevant attendance registers
- schools that are receiving Secondary Tertiary Alignment Resource (STAR) funding: a copy of the Funding Report Form.

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5-8 Documentation required for the audit, continued

Documentation required (continued)

All boards must ensure that the appropriate audit documentation is accurately prepared and retained, and available to the Ministry's resourcing auditors when the roll returns are audited.

The table below outlines the audit documentation requirements:

Attendance registers	Approved Student Management System (SMS)	Manual roll returns
<ul style="list-style-type: none"> • E19/1 manual registers for the current school year, or • Electronic attendance registers for every class/group printed at the end of each term of the current school year. 	<ul style="list-style-type: none"> • A full school audit roll printed at the same time as the roll return that was submitted to the Ministry, and retained with the school's copy of that roll return. • Audit class lists completed manually by class/subject teachers during class time • Where a manual attendance register (E19/1) is used, the audit class list is required to be completed on the count date only i.e. for one day • Where an electronic attendance register is used, the audit class list is required to be completed for five days, the two school days prior the count day, the day of the count day and the two school days following the count day. <p>Note: The SMS system has been formatted to produce audit class lists for roll returns.</p>	<ul style="list-style-type: none"> • An alphabetic listing of all students attending the school on the roll return date showing the form (class, whanau) groups to which they have been allocated • Class lists, as at the roll return date, so they can be cross referenced with the names on the class registers, in order to establish the attendance status of each student, the audit class list must be completed by the classroom teacher during class time

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5-9 Audits of the supplementary roll returns for teen parent units

Introduction The primary aim of a roll audit is to verify the accuracy of a school's roll return.

Documentation required for audit of Teen Parent Units Documentation must be retained by the host school to support the claim that each student meets the criteria for eligibility to enrol and attend a Teen Parent Unit (TPU).

The document requirements are detailed in circulars 2007/17 - *Auditing of Roll Returns: 1 March and 1 July 2008*. This circular is available on the Ministry's website at www.minedu.govt.nz/circulars

5-10 Enrolment of Adult Students In Mainstream Secondary Education

Introduction

The primary purpose of enabling adult students to enrol as mainstream students in secondary schools is to provide foundation skills or “second chance” education. That is, individuals are afforded the opportunity to gain NCEA qualifications that they did not gain when they first attended secondary school as a regular student.

Adult Student Enrolment Policy

In 2004, the Ministry published *Circular 2004/07* which sets out the requirements for the enrolment of adult students as mainstream secondary students. The circular is available on the Ministry’s website at www.minedu.govt.nz/circulars.

The policy aims to ensure that all adult students in secondary education:

- are assisted in gaining appropriate qualifications;
 - meet targets for minimum literacy and numeracy levels; and
 - are attending classes with comparable secondary students.
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Definition of adult students

An adult student is any student whose 19th birthday occurred before 1 January if the current year. This does not apply to students deemed to require special education under Section 9 of the Education Act 1989.

Adult Student Criteria

To be enrolled as an adult student in mainstream secondary education, an adult student must meet all of the criteria outlined below.

Nature and Course of Study

The course of study in which the adult student is enrolled must assist the student to reach the following minimum goals:

1. Adult students must, for a minimum of 0.6 of their course load, be attending classes that will result in NZQA qualifications;
2. If students have not achieved NCEA Level 1 or equivalent requirements for literacy and numeracy, classes that will allow them to achieve Level 1 NCEA literacy and numeracy requirements (or relevant English for Speakers of Other Languages (ESOL) requirements to enable students to achieve these requirements) must be included in the students’ programme.

Nature of Classes Attended

3. Adult students enrolled in an adult ESOL programme, or a designated refugee or recent migrant programme, are able to attend classes specifically established for those students;
4. With the exception of classes described in 3. above, classes attended by adult students must be available, suitable, and appropriately timetabled for comparable secondary students within the school.

5-10 Enrolment of Adult Students In Mainstream Secondary Education, continued

Enrolment Requirements

5. Enrolment processes (including fees) must be identical to those for comparable regular students;
 6. In schools with enrolment zones, adult students can be enrolled only in a situation where the availability of places at a particular level has been advertised and the number of applications is less than the number of places available;
 7. In order for adult students to be enrolled, they must present to the board valid documentation of citizenship, residency, or refugee status. The board must keep a copy of this documentation for audit purposes.
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Record keeping requirement for adult students

Boards must keep attendance records for adult students in a separate register. In addition to the name of each student, the register must show the number of hours of class contact time per week, and the courses taken. This documentation is required for audit.
