

**Records Disposal Schedule  
Training and Assessment Services**

**Department of Health and  
Community Services**

**Disposal Schedule No. 2004/10**

**June 2004**



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## ABOUT THIS DISPOSAL SCHEDULE

### Purpose

The purpose of this Disposal Schedule is to enable regular, planned and authorised disposal of Training and Assessment Services records of the Department of Health and Community Services.

### Scope

Application of this Disposal Schedule is mandatory for Training and Assessment Services records of the Department of Health and Community Services.

This Disposal Schedule applies to Training and Assessment Services records in all formats, including electronic records and records in business systems, copies of records and parts of records of the Northern Territory Government.

### Regulatory Framework

The regulatory basis for this Disposal Schedule is defined in:

- ▶ Information Act 2002
- ▶ Australian Standards AS ISO 15489:2002-Records Management

### Related Documents

This Disposal Schedule is to be read in conjunction with:

- ▶ NT Government Records Management Standard – Records Disposal
- ▶ policies and procedures of Department of Health and Community Services

- ▶ current authorised disposal schedules for Department of Health and Community Services
- ▶ Disposal Schedule for Administrative Records of the Northern Territory Government – Disposal Schedule No. 2000/8 (ADMIN).
- ▶ Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).
- ▶ Disposal Schedule for the Financial Management Records of the Northern Territory Government – Disposal Schedule No. 2001/2 (FM).
- ▶ Disposal Schedule for the Human Resource Management Records of the Northern Territory Government – Disposal Schedule No. 2001/6 (HRM).
- ▶ NT Archives Guidelines on Normal Administrative Practice for Records Disposal

## Responsibility

The Chief Executive Officer Department of Health and Community Services is responsible for the content and implementation of this Disposal Schedule including the provision of advice and training, and for monitoring compliance.

## Authority

This Disposal Schedule was approved by the Director of the NT Archives Service and the Chief Executive Officer Department of Health and Community Services June 2004 and is effective immediately.

## Explanation

This schedule has been developed using a functional structure based on the business classification scheme of the *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSW and modified for use by NT Government public sector organisations.

Records disposal schedules are policy documents that describe each class of records held, using thesaurus classifications based on business analysis. The schedules set out minimum requirements for the creation, maintenance, retention or destruction actions to be taken in relation to existing or future records described in each class.

Either permanent or temporary status is assigned to each class of records. Records appraised with permanent status have been identified as archives and must be transferred to NT Archives Service not later than 30 years after creation. Temporary records will be destroyed at an appropriate time determined by the disposal action identified in the schedule and by consultation with relevant operational business employees responsible for the records.

## NT Government Disposal Schedules

There are two types of records disposal schedules:

- ▶ “general” disposal schedules that apply to records common to most or all NT Government public sector organisations, and
- ▶ records disposal schedules specific to an NT Government public sector organisation or function.

There are presently four disposal schedules which provide disposal coverage for records common to most or all NT Government public sector organisations –the General Disposal Schedule for Financial Management Records, the General Disposal Schedule for Human Resource Management Records, the General Disposal for Administrative Records and the General Disposal Schedule for Information Management Records. These can be used by all NT Government public sector organisations to assist with the disposal of administrative records.

### **Sentencing Records**

Sentence records with this records disposal schedule using the following five steps:

- ▶ Determine the appropriate function and activity of the records. This can be done by examining an existing record or when creating a new record.
- ▶ Identify the disposal class.
- ▶ From the disposal action in the class, identify the trigger event and a date when the record can be disposed of, alternately, identify that the record is to be retained permanently as archives.
- ▶ If the trigger event has already occurred (such as action is completed), confirm and implement the disposal action.
- ▶ If the trigger event has not occurred (eg. the record is still in active use), set a review date for the future.

### **Normal Administrative Practice**

Some records and ephemeral documents can be destroyed as a normal administrative practice if they are:

- ▶ duplicate (eg information or reference copy)
- ▶ obviously unimportant (eg telephone message slips)
- ▶ of short term facilitative value (eg compliment slips)
- ▶ a combination of these

The guiding principle is that organisations should be sure that destroying these records will not destroy evidence that might be needed.

Records that have been captured into a recordkeeping system should not be destroyed as normal administrative practice unless the class of records has been identified in a disposal schedule and reason for their destruction is recorded in full on the relevant control records. Normal administrative practice can be applied to electronic records as well as paper records (eg information on word processing systems where a hard copy has been captured into a recordkeeping system).



## **Notification of Destruction**

Provide formal notification of destruction of all records to NT Archives Service.

## **Acknowledgment**

The NT Archives Service acknowledges the use of material produced by National Archives of Australia, State Records Authority of New South Wales and Standards Australia were used in the development of this schedule.

The schedule was drafted principally by Department of Health and Community Services in consultation with NT Archives Service.

This work is copyright. Apart from any use as permitted under the Copyright Act 1968, no part may be reproduced by any process without prior written permission of the NT Archives Service. Requests and enquiries concerning reproduction and rights should be directed to the Director, NT Archives Service. The terms in the business classification scheme are based on the Keyword AAA: A Thesaurus of General Terms (Government of New South Wales, 1998, and are produced under a licence agreement between the Northern Territory Archives Service and the State Records Authority of New South Wales.)

## COMPLIANCE

### Compliance Checklist

- Implement a records disposal program to ensure regular appraisal, sentencing, destruction and transfer of all records
- Assign responsibility for the management and application of regular records disposal action using authorised records disposal schedules, to an appropriately skilled records manager who consults with the NT Archives Service
- Familiarise all employees of the organisation with the authorised records disposal schedules relevant to the organisation's records
- Identify and sentence all records described in this schedule in all formats including electronic records and records in business systems, copies of records and parts of records
- Apply this records disposal schedule to records in the organisation's records management systems, including systems for the management of paper records, electronic records, or records in any other format
- Apply this records disposal schedule to records in the organisation's business systems, either directly or by linking the business system to a records management system
- Implement quality assurance mechanisms to periodically check that the disposal class originally assigned at the creation of the records is still applicable at the time of sentencing of the record
- Implement review or quality control procedures in electronic recordkeeping systems to ensure disposal actions are implemented correctly.
- Identify records series that require resentencing
- Stop applying sentences from previous schedules that have been revoked or amended
- Retain all records in good order and condition to be available for retrieval during the retention period.
- Identify and update control records so that you can demonstrate what happened to each record, whether paper or electronic
- Select and implement an appropriate and approved strategy for retention of records of continuing value, eg. preservation in original form migration to new systems conversion to long term medium
- Dispose of all records sentenced according to this schedule in all formats including electronic records and records in business systems, copies of records and parts of records
- Transfer records of permanent value to NT Archives Service not later than 30 years after creation for retention as archives
- Inactive records can be transferred to offsite service providers providing they have been sentenced
- Destroy time expired temporary records in a secure manner that ensures complete deletion/destruction beyond any possible reconstruction
- Notify NT Archives Service of destruction of all records
- Do not destroy records that are not described in an authorised records disposal schedule unless they are ephemeral documents that are obviously duplicate and/or unimportant





## 1. TRAINING AND ASSESSMENT SERVICES

- The function of developing, delivering, evaluating, managing or organising training and/or assessment services for departmental staff and external persons. Includes all activities related to the departments' status and operations as a registered training organisation along with similar activities such as delivery of purely "in-house" programs or conduct of promotional assessment or workplace appraisals.

### 1.1 ADVICE

The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>  |
|------------------|---|--|
| 1.1.1            | Records relating to advice and opinions given or received in the formulation of strategies and policies for the training and assessment function leading to significant policy or strategy change or major precedence | PERMANENT<br>Transfer to NT Archives<br>Service 4 years after action completed |
| 1.1.2            | Records relating to routine advice and opinions given or received for the training and assessment function leading to no significant policy or strategy change and no or only minor precedence                        | TEMPORARY<br>Destroy 2 years after action completed                            |

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### 1.2 AGREEMENTS

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes formal agreements such as industrial awards and/or exchange of letters between parties, as well as informal agreements.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                   |
|------------------|---|---|
| 1.2.1            | Final versions of agreements made in relation to the training and assessment function, and records relating to the development, negotiation, maintenance and review of the agreements | TEMPORARY<br>Destroy 5 years after action completed |

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## 1. TRAINING AND ASSESSMENT SERVICES

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### 1.3 APPEALS

The activities involved in the process of appeals against decisions by application to a higher authority.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                   |
|------------------|--|---|
| 1.3.1            | Records relating to appeals against exclusion from a course where these are not added to a personal file | TEMPORARY<br>Destroy after exclusion expires        |
| 1.3.2            | Records relating to appeals against a result   | TEMPORARY<br>Destroy 2 years after action completed |
| 1.3.3            | Records relating to appeals against exclusion from training premises                                     | TEMPORARY<br>Destroy after exclusion expires        |

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**1. TRAINING AND ASSESSMENT SERVICES**

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**1.4 AUDIT**

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skill audits, system audits and quality assurance audits.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>   |
|------------------|---|---|
| 1.4.1            | Records relating to major agency-wide audits of the training and assessment function which result in substantial change to policy or procedures | PERMANENT<br>Transfer to the NT Archives Service 4 years after action completed |
| 1.4.2            | Records relating to other agency-wide audits of training and assessment resulting in minor or no change to policy or procedure                  | TEMPORARY<br>Destroy 6 years after action completed                             |
| 1.4.3            | Records relating to audits of particular training and assessment activities resulting in substantial change                                     | TEMPORARY<br>Destroy 3 years after action completed                             |
| 1.4.4            | Records relating to audits of particular training and assessment activities resulting in minor or no change                                     | TEMPORARY<br>Destroy 1 years after action completed                             |

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## 1. TRAINING AND ASSESSMENT SERVICES

- The function of developing, delivering, evaluating, managing or organising training and/or assessment services for departmental staff and external persons. Includes all activities related to the departments' status and operations as a registered training organisation along with similar activities such as delivery of purely "in-house" programs or conduct of promotional assessment or workplace appraisals.

### 1.5 COMMITTEES

The activities associated with the management of committees, boards and task forces (internal and external, private, local, state, Commonwealth etc.). Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes, reports, agendas etc.

| Class No. | Description of Records   | Status and Disposal Action  |
|-----------|--|---|
| 1.5.1     | Records of committees convened by or involving the agency relating to major policy issues within the agency or national training bodies, including agenda, appointments, attendance, briefing and discussion papers, minutes, reports and submissions      | PERMANENT<br>Transfer to the NT Archives Service 4 years after action completed |
| 1.5.2     | Records of committees convened by or involving the agency relating to minor issues (eg development, monitoring and review of training plans), including agenda, appointments, attendance, briefing and discussion papers, minutes, reports and submissions | TEMPORARY<br>Destroy 5 years after action completed                             |
| 1.5.3     | Records relating to the administration of committees, including draft agenda, distribution lists, invitations to attend, organising of venue and travel arrangements   | TEMPORARY<br>Destroy 2 years after action completed                             |

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- The function of developing, delivering, evaluating, managing or organising training and/or assessment services for departmental staff and external persons. Includes all activities related to the departments' status and operations as a registered training organisation along with similar activities such as delivery of purely "in-house" programs or conduct of promotional assessment or workplace appraisals.

### 1.6 COMPLIANCE

The activities associated with complying with, or monitoring compliance with, mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards, such as the Records Management Standard AS ISO 15489 2002.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>   |
|------------------|--|---|
| 1.6.1            | Records relating to agency compliance with national training and assessment standards such as the Australian Qualification Framework and Training Package assessment guidelines, including registration under the AQF and applications for extensions of scope of registration | PERMANENT<br>Transfer to NT Archives Service 4 years after action completed |
| 1.6.2            | Records relating to serious breaches of compliance, breaches requiring substantial investigation or failure to meet compliance requirements regarding training and assessment activities   | PERMANENT<br>Transfer to NT Archives Service 4 years after action completed |
| 1.6.3            | Records relating to minor breaches of compliance regarding training and assessment activities  | TEMPORARY<br>Destroy 6 years after action completed                         |

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## 1. TRAINING AND ASSESSMENT SERVICES

- The function of developing, delivering, evaluating, managing or organising training and/or assessment services for departmental staff and external persons. Includes all activities related to the departments' status and operations as a registered training organisation along with similar activities such as delivery of purely "in-house" programs or conduct of promotional assessment or workplace appraisals.

### 1.7 CONFERENCES

The activities involved in arranging or attending conferences held either by the organisation or by other organisations. Includes registrations, publicity, and reports of participants, etc. Place published reports and proceedings in the organisation's library or information centre, and cross-reference to files. Includes workshops and seminars.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>  |
|------------------|--|--|
| 1.7.1            | Master copies of proceedings of conferences relating to training and assessment and organised by the agency including papers presented by agency staff   | PERMANENT<br>Transfer to NT Archives<br>Service 4 years after action completed |
| 1.7.2            | All other records relating to agency attendance at conferences or the administrative arrangements of conferences organised by the agency including catering, draft programs, proceedings, publicity, speakers, travel arrangements, topics, venues | TEMPORARY<br>Destroy 2 years after action completed                            |

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**1. TRAINING AND ASSESSMENT SERVICES**

- The function of developing, delivering, evaluating, managing or organising training and/or assessment services for departmental staff and external persons. Includes all activities related to the departments' status and operations as a registered training organisation along with similar activities such as delivery of purely "in-house" programs or conduct of promotional assessment or workplace appraisals.

**1.8 CONSULTANCY SERVICES**

The activities involved in providing and managing services to clients on a fee paying basis. Includes negotiating fees for service and preparing quotations.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                   |
|------------------|---|---|
| 1.8.1            | Records relating to the provision of services to clients on a fee paying basis, including negotiating fees for service and preparing quotations | TEMPORARY<br>Destroy 7 years after action completed |

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## 1. TRAINING AND ASSESSMENT SERVICES

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### 1.9 CONTRACTING-OUT

The activities involved in arranging, procuring and managing the performance of work or the provision of goods or services by a contractor, consultant, service provider, or by using external bureau services. Includes work done under contractual agreements and service agreements made under contract. Sometimes referred to as outsourcing.

Use CONSULTANCY SERVICES for the provision of consultancy services to clients.

Use TENDERING for the process of receiving and assessing tenders from potential external consultants for services, prior to the contract agreement.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                         |
|------------------|---|---|
| 1.9.1            | Records relating to the engagement of consultants to deliver courses on behalf of the agency, including terms of contract, service agreements | TEMPORARY<br>Destroy 7 years after completion of contract |

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## 1. TRAINING AND ASSESSMENT SERVICES

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### 1.10 COUNSELLING

The activities associated with giving advice or guidance to an employee for various reasons.

Note: If the counselling is a result of disciplinary procedures, document the counselling matters on the DISCIPLINE file.

Note: If the counselling is a result of inability procedures, document the counselling matters on the INABILITY file.

Note: If the counselling is a result of medical incapacity procedures, document the counselling matters on the MEDICAL INCAPACITY file.

| <b>Class No.</b> | <b>Description of Records</b>                                  | <b>Status and Disposal Action</b>                           |
|------------------|--|---|
| 1.10.1           | Records and reports relating to course performance counselling | TEMPORARY<br>Destroy 2 years after completion of the course |

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### 1.11 COURSE DELIVERY

The activities associated with delivery of a course or training/assessment program. It includes all the administrative processes required to ensure that participants, trainers and assessors are in attendance: all learning and assessment activities undertaken by participants; and all monitoring, assessment and evaluation carried out by staff for the particular occasion. Also includes the delivery of presentations for current awareness updates.

Note: COURSE DELIVERY may also be used for assessment-only enrolments in a course or Recognised Prior Learning RPL activity.

Use COURSE DOCUMENTATION - [Course Name] for the curricula, lesson plans or assessment items used in a particular delivery and add them to a cumulative file if they have changed since the previous delivery.

| Class No. | Description of Records   | Status and Disposal Action  |
|-----------|--|---|
| 1.11.1    | Records relating to the approval, scheduling, finance and administration of a course   | TEMPORARY<br>Destroy 2 years after action completed   |
| 1.11.2    | Records relating to admissions, withdrawals, extensions and attendance at assessments  | TEMPORARY<br>Destroy 2 years after action completed   |
| 1.11.3    | Certified attendance and final results lists   | TEMPORARY<br>Destroy 30 years after action completed  |
| 1.11.4    | Annual AVETMISS (Australian Vocational Education and Training Management Information Statistical Standard) files of enrolments and final results | TEMPORARY<br>Destroy 30 years after action completed (manage and migrate data to new media/platform during system upgrades) |
| 1.11.5    | Course reports including results of course evaluations and consequent action plans   | TEMPORARY<br>Destroy 3 years after action completed   |
| 1.11.6    | Detailed assessment records and checklists, course evaluation data, work submitted by trainees, workplace report forms, etc                      | TEMPORARY<br>Destroy 7 years after course completed   |

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**1.12 COURSE DEVELOPMENT**

The activities associated with the specification of desired training outcomes in the form of curricula or competency units and the development of delivery sequence instructions, lesson plans, assessment instructions and assessment instruments to implement training and assessment for curricula or training package qualifications. Includes the process of.

Use COMPLIANCE - Course Accreditations for the accreditation process of new curricula or qualifications.

Use COMPLIANCE - Extensions of scope for applications to deliver curricula or qualifications developed.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                               |
|------------------|---|---|
| 1.12.1           | Records relating to the establishment of the need for, approval of, and the agreement to develop (or significantly redevelop), a course | TEMPORARY<br>Destroy 7 years after action completed             |
| 1.12.2           | Records relating to the approval, timetable, finance and methodology of a course development plan                                       | TEMPORARY<br>Destroy 3 years after course development completed |
| 1.12.3           | Records relating to course content and requirements   | TEMPORARY<br>Destroy 7 years after course development completed |
| 1.12.4           | Detailed workshop participant reports and checklists, survey data, literature surveys, etc  | TEMPORARY<br>Destroy 1 years after course development completed |

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## 1. TRAINING AND ASSESSMENT SERVICES

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### 1.13 COURSE DOCUMENTATION

The activities associated with the final production of draft curricula or competency units for accreditation or reference and the final production of delivery sequence instructions, lesson plans, assessment instructions and assessment instruments to control the delivery of a course. Includes the resulting documents.

Use COURSE DEVELOPMENT for the process of discovering what should be in a course.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>  |
|------------------|--|--|
| 1.13.1           | Curriculum documents including unit and module definitions, assessment procedures and delivery methods | TEMPORARY<br>Destroy 7 years after course ceases to be accredited or delivered |
| 1.13.2           | Delivery plans including lesson and session plans, assessment instruments and delivery aids            | TEMPORARY<br>Destroy 7 years after occasion of delivery                        |

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**1.14 ENQUIRIES**

The activities associated with the handling of requests for information about the organisation and its services by the general public or another organisation.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                   |
|------------------|--|---|
| 1.14.1           | Records relating to requests for information or services from the public or internal clients | TEMPORARY<br>Destroy 2 years after action completed |

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**1.15 EVALUATION**

The process of determining the suitability of potential or existing personnel; programs; systems; services; or items of equipment in relation to meeting the needs of the given situation. May include detailed analysis and/or ongoing monitoring.

Use AUDIT for formal audits of functions and programs.

Use COURSE DELIVERY for end of course evaluation of delivery.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                   |
|------------------|---|---|
| 1.15.1           | Records relating to the evaluation of agency training and assessment programs | TEMPORARY<br>Destroy 5 years after action completed |

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## 1. TRAINING AND ASSESSMENT SERVICES

- The function of developing, delivering, evaluating, managing or organising training and/or assessment services for departmental staff and external persons. Includes all activities related to the departments' status and operations as a registered training organisation along with similar activities such as delivery of purely "in-house" programs or conduct of promotional assessment or workplace appraisals.

### 1.16 EVENTS

The activities associated with arranging, managing or attending events.

Use CONFERENCES for activities associated with conferences, seminars and workshops.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                   |
|------------------|---|---|
| 1.16.1           | Records relating to the conducting of graduation ceremonies   | TEMPORARY<br>Destroy 5 years after action completed |
| 1.16.2           | Records relating to attendance at or conduct of seminars, open days, shows etc to showcase training and assessment activities | TEMPORARY<br>Destroy 2 years after action completed |

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### 1.17 GRIEVANCES

The activities associated with the handling and resolution of grievances. Includes handling complaints over perceived discrimination, or those arising over work environment, work organisation or distribution, peers, supervisors or subordinates. Also includes complaints regarding the provision of access to opportunities such as training, equipment, promotion, or higher duties.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                   |
|------------------|---|---|
| 1.17.1           | Records relating to disputes or grievances resolved at the course level                   | TEMPORARY<br>Destroy 1 year after action completed  |
| 1.17.2           | Records relating to disputes or grievances referred to supervisors or training committees | TEMPORARY<br>Destroy 2 years after action completed |

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### 1.18 LIAISON

The activities associated with maintaining regular general contact between the organisation and others, including professional associations; professionals in related fields; private sector organisations; community groups and individuals. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                   |
|------------------|---|---|
| 1.18.1           | Records relating to contact with national bodies, professional associations, private sector organisations and community groups in regard to training and assessment issues, including the sharing of informal advice, informal discussions, membership of professional associations | TEMPORARY<br>Destroy 3 years after action completed |

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**1.19 MARKETING & PROMOTION**

The process of analysing, creating, promoting and/or selling products and services including corporate image. Includes market research, sales forecasting, advertising, media releases, promotion, pricing and product evaluation.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                   |
|------------------|---|---|
| 1.19.1           | Records relating to the advertising of agency training and assessment programs and facilities | TEMPORARY<br>Destroy 5 years after action completed |

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**1.20 MEETINGS**

The activities associated with gatherings held to formulate, discuss, update, or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes, etc. May be used for staff meetings.

Use COMMITTEES for the meetings of committees, task forces and any other formal group which meets on a regular basis.

Use CONFERENCES for meetings at conferences.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                   |
|------------------|---|---|
| 1.20.1           | Records relating to ad hoc meetings regarding training and assessment issues, including administrative arrangements, agenda, attendance, briefing and discussion papers, minutes, and reports | TEMPORARY<br>Destroy 2 years after action completed |

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**1.21 PLANNING**

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions of those needs.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>  |
|------------------|--|--|
| 1.21.1           | Final versions of agency-wide training and assessment plans and records relating to the development of the plans | TEMPORARY<br>Destroy 5 years after action completed or 5 years after plan superseded, whichever is later |
| 1.21.2           | Training plans of individual groups or units of the agency and records relating to the development of the plans  | TEMPORARY<br>Destroy 2 years after action completed or 2 years after plan superseded, whichever is later |
| 1.21.3           | Copies of training and assessment plans held for reference purposes  | TEMPORARY<br>Destroy when reference ceases   |

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**1.22 POLICY**

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>   |
|------------------|--|---|
| 1.22.1           | Records relating to the formulation of agency policy on global training and assessment strategy, including consultation papers, drafts, policy proposals, reports, research papers, master copies of policies and master set of comments received by the coordinating section.   | PERMANENT<br>Transfer to NT Archives Service 4 years after action completed |
| 1.22.2           | Records relating to the formulation of agency policy on particular training and assessment issues, including consultation papers, drafts, policy proposals, reports, research papers, master copies of policies and master set of comments received by the coordinating section. | TEMPORARY<br>Destroy 2 years after policy superseded                        |
| 1.22.3           | Records relating to the formulation of training section policy on particular training and assessment issues, including consultation papers, drafts, policy proposals, reports, research papers, master copies of policies.   | TEMPORARY<br>Destroy 2 years after policy superseded                        |
| 1.22.4           | Duplicate copies of policy documents.  | TEMPORARY<br>Destroy when reference ceases                                  |

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**1.23 PRESENTATIONS**

The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches, multi-media presentations, and presentation or conferring of honours, prizes or condolences. Add the title of the presentation as free text.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                   |
|------------------|--|---|
| 1.23.1           | Records relating to formal addresses or reports delivered at seminars or workshops | TEMPORARY<br>Destroy 5 years after action completed |

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### 1.24 PROCEDURES

Standard methods of operating laid down by an organisation according to formulated policy.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                       |
|------------------|--|---|
| 1.24.1           | Records relating to the development and implementation of procedures and guidelines associated with the training and assessment function, including master copies of procedure manuals | TEMPORARY<br>Destroy 2 years after procedure superseded |
| 1.24.2           | Duplicate copies of procedure manuals  | TEMPORARY<br>Destroy when reference ceases              |

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### 1.25 PROMOTIONAL ASSESSMENT

The activities associated with the certification of groups of candidates as eligible for promotion on the basis of their performance in structured activities or on the basis of structured observations. Includes the processes of organising and supervising the activities or observations, marking their results and analysing and validating these marks.

Use REPORTING - [Promotional Assessment name] for the provision of feedback to candidates and management.

| Class No. | Description of Records  | Status and Disposal Action                                       |
|-----------|---|--|
| 1.25.1    | Certified attendance and final results lists  | TEMPORARY<br>Destroy 30 years after assessment process completed |
| 1.25.2    | Assessor lists, activity schedule and definition and assessment plans   | TEMPORARY<br>Destroy 5 years after assessment process completed  |
| 1.25.3    | Assessment centre reports including summary of results, candidate and assessor feedback, evaluation and consequent action plans       | TEMPORARY<br>Destroy 5 years after assessment process completed  |
| 1.25.4    | Records relating to the announcement, scheduling, finance and administration of an assessment centre                                  | TEMPORARY<br>Destroy 2 years after assessment process completed  |
| 1.25.5    | Correspondence concerning applications, withdrawals and attendance at an assessment centre.   | TEMPORARY<br>Destroy 2 years after assessment process completed  |
| 1.25.6    | Detailed assessment records, checklists, assessor and candidate feedback, candidate papers, supplementary workplace report forms, etc | TEMPORARY<br>Destroy 1 year after assessment process completed   |

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**1.26 REPORTING**

The activities associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                   |
|------------------|---|---|
| 1.26.1           | Annual reports to strategic management on departmental training and assessment activities, and records relating to such reports, including briefing and discussion papers, comments received, drafts, returns and reviews.    | TEMPORARY<br>Destroy 5 years after action completed |
| 1.26.2           | Quarterly reports to strategic management on departmental training and assessment activities, and records relating to such reports, including briefing and discussion papers, comments received, drafts, returns and reviews. | TEMPORARY<br>Destroy 2 years after action completed |
| 1.26.3           | Annual reports on training and assessment activities of particular sections, and records relating to such reports, including briefing and discussion papers, comments received, drafts, returns and reviews.                  | TEMPORARY<br>Destroy 2 years after action completed |

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## 1. TRAINING AND ASSESSMENT SERVICES

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### 1.27 RESEARCH

The activities involved in enquiring into a subject or area of interest in order to discover facts, principles etc. Used to support the development of projects, standards, guidelines etc., and the business activities of the organisation in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc. Add the name of the research topic as free text.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                   |
|------------------|---|---|
| 1.27.1           | Final report (consolidated results of research) and records relating to research into the development of projects, standards, methods and guidelines for training and assessment purposes | TEMPORARY<br>Destroy 5 years after action completed |
| 1.27.2           | Research data (including enquiries, literature searches, questionnaires, statistics, surveys, working papers and other raw data)  | TEMPORARY<br>Destroy 1 year after action completed  |

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### 1.28 REVIEWING

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

Use EVALUATION for initial evaluation and monitoring.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                   |
|------------------|--|---|
| 1.28.1           | Records relating to reviews of training and assessment functions, structures and major programs, including recommendations, working papers, final report and action plan | TEMPORARY<br>Destroy 6 years after action completed |
| 1.28.2           | Records relating to minor reviews of training and assessment programs and activities, including recommendations, working papers, final report and action plan            | TEMPORARY<br>Destroy 2 years after action completed |

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### 1.29 RISK MANAGEMENT

The process involving the identification of risks, and the implementation of appropriate practices and procedures which will address the impact from an incident.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                           |
|------------------|--|---|
| 1.29.1           | Records relating to the development of the agency's disaster plan with regard to training and assessment functions (such as continuation of agency activity and programs in the event of a disaster) | TEMPORARY<br>Destroy 2 years after disaster plan superseded |
| 1.29.2           | Records relating to the implementation of the Training and Assessment risk management plan, including reports of individual incidents and occurrences.   | TEMPORARY<br>Destroy 2 years after action completed         |

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### 1.30 WORKPLACE APPRAISAL

The activities associated with collecting structured appraisals of a member from workplace supervisors and peers for the purposes of assessment towards a qualification, validation or modification of promotional assessment, placement in courses, performance monitoring or career guidance.

Use COURSE DELIVERY - [Course name] for course assessments implemented completely through workplace appraisals.

Use PROMOTIONAL ASSESSMENT - [Promotional Assessment name] for promotional assessments implemented completely through workplace appraisals.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                   |
|------------------|---|---|
| 1.30.1           | Approvals or requests for the conduct of workplace appraisals, appraisal instruments and instructions, appraisal plans and summary and evaluation reports | TEMPORARY<br>Destroy 5 years after action completed |
| 1.30.2           | Correspondence relating to the conduct or evaluation of workplace appraisals  | TEMPORARY<br>Destroy 2 years after action completed |
| 1.30.3           | Individual appraisal and evaluation records not relating to a course or promotional assessment.   | TEMPORARY<br>Destroy 1 years after action completed |

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DEPARTMENT OF CORPORATE  
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