



Records disposal schedule

Records Disposal Schedule Centre for Disease Control Department of Health

Disposal Schedule No. 2014/22

October 2014

For information and advice, please contact
NT Records Service
Department of Corporate and Information Services
GPO Box 2391
Darwin NT 0801

Email: NTG.RecordsPolicy@nt.gov.au
Telephone: (08) 8924 3847
Facsimile: (08) 8924 3880
Website: http://www.nt.gov.au/dcis/info_tech/records_policy_standards/index.shtml

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Preamble

Introduction

The *Information Act* states that public sector organisations must safeguard their records and must not delete or otherwise dispose of a record unless authorised to do so¹. Disposal of records is permitted through the use of records disposal schedules and enable regular, planned and authorised disposal of records controlled by an agency.

Records retention decisions are based on:

- the current and future business needs of the organisation
- compliance with legal and governance requirements of the organisation
- the current and future needs of internal and external stakeholders, including the wider community.

Records disposal schedules provide continuing authorisation for the legal disposal of records and are authorised by the records service, archives service and chief executive officer of the public sector organisation responsible for the schedule.

Records disposal schedules apply to records created and maintained in any format, including electronic records, records in business systems, and parts of records.

In the Northern Territory government there are two types of records disposal schedules:

- General records disposal schedules that apply to records common to most or all NT Government public sector organisations (http://www.nretas.nt.gov.au/knowledge-and-history/ntas/records/records_disposal), and
- Functional records disposal schedules that apply to records specific to an NT Government public sector organisation or function.

Functional records disposal schedules should be used in conjunction with general records disposal schedules.

Structure of a Records Disposal Schedule

Records disposal 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. Records disposal schedules specify

- a) whether a class of record has temporary or permanent status;
- b) the retention period for a temporary class of record;
- c) authorised disposal actions for a class of record.²

Each class of records created by an agency is described using classifications based on business analysis.

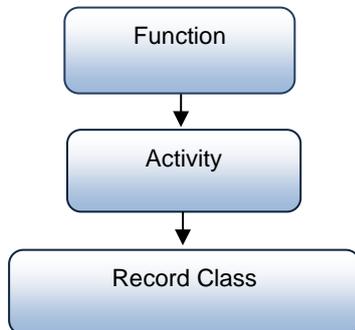
Disposal schedules are developed using the functional structure based on the business classification scheme of the *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSW and modified for use by NT Government public sector organisations.

¹ S.145 *Information Act*

² S.136A(3) *Information Act*

Within the schedule, functions are documented as the highest level terms and business activities under the functions, followed by record classes, as shown in diagram 1.

Diagram 1



Function

The function or keyword is the highest level in the classification scheme in this disposal schedule. The function is indicated at the start of each section and a description (scope note) provided.

Activity

Activities are the processes or operations that make up the business function. This is the second level in the classification scheme in this disposal schedule. The description (scope note) provides details of the transactions that take place in relation to the activity, for example, REPORTING or POLICY.

Record Class

A record class is a group of records that relate to the same activity, function or subject and require the same disposal action. The descriptions can relate to one record (such as a register) or a group of records documenting a particular set of business transactions.

Status and Disposal Action

The appraisal status of a record class is assigned as either permanent or temporary.

Permanent Records: Records appraised with permanent status have been identified as archives and must be transferred to the NT Archives Service for their preservation and eventual public access.

The retention period for permanent records is the maximum period before the records must be transferred to the NT Archives Service. Permanent records must be transferred no later than 30 years after creation in accordance with the Information Act, unless exemption has been granted (see Archives Management Standards Transfer of Archives, and Exemption from Compulsory Transfer of Permanent Records to the NT Archives Service). An Application to Transfer Records form must be submitted to the NT Archives Service before records will be accepted for transfer.

Temporary records: The retention period for temporary records is the minimum period before the records can legally be destroyed. The retention period is calculated after an event or a disposal trigger such as 'date of action completed', 'date of audit' or 'date of birth'. Destruction should be done following consultation with relevant operational business employees responsible for the records.

Retention periods for temporary records in a records disposal schedule are minimum periods only and agencies may keep records for a longer period if considered necessary for business requirements.

Reasons for longer retention could include,

- administrative need or agency directives,
- legal requirements such as current or pending legal action,
- relevance to an investigation or inquiry which is in progress,
- is subject to an Information Access application, or
- subject to a disposal freeze.

Records created prior to 1 July 1978 must not be disposed of without the authorisation of the NT Archives Service in accordance with Archives Management Standard Records Created Prior to 1978, unless specified in a schedule.

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

1. Determine the appropriate function and activity of the records. This can be done by examining an existing record or when creating a new record.
2. Identify the disposal class.
3. 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.
4. If the trigger event has already occurred (such as action is completed), confirm and implement the disposal action.
5. If the trigger event has not occurred (e.g. the record is still in active use), set a review date for the future.

About this Records Disposal Schedule

Purpose

The purpose of this Records Disposal Schedule is to enable regular, planned and authorised disposal of records of Centre for Disease Control of the Department of Health.

Scope

Application of this Records Disposal Schedule is mandatory for Centre for Disease Control records of the Department of Health.

This Records Disposal Schedule applies to Centre for Disease Control records in all formats.

Responsibility

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

Authority

This Records Disposal Schedule is authorised in accordance with S. 136B of the *Information Act*.

Disposal Schedule No. 2014/22 was approved by the Director of the NT Archives Service (The Archives Service), Director of Information Strategy (The Records Service), and the Chief Executive of the Department of Health on 3 October 2014 and is effective immediately.

Regulatory Framework

The regulatory basis for this Records Disposal Schedule is defined in:

- *Notifiable Disease Act*
- *Information Act*
- NT Government Records Management Standards
- NT Government Archives Management Standards
- Australian Standards AS ISO 15489:2002-Records Management

Related Documents

This Records Disposal Schedule is to be read in conjunction with:

- NT Government Records Management Standard – Records Disposal
- policies and procedures of the Department of Health
- current authorised disposal schedules for Department of Health

Normal Administrative Practice

Public sector organisations are permitted to dispose of some short term or ephemeral documents under the authority of the Disposal Schedule for Short Term Value Records. These include:

- duplicate (eg information or reference copy)

- obviously unimportant (e.g. telephone message slips)
- of short term facilitative value (e.g. 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 be destroyed using the Disposal Schedule for Short Term Value Records unless the class of records has been identified in a specific disposal schedule.

Notification of Destruction

Provide formal notification of destruction of all records to the NT Records Service.

Note: In the case of the Disposal Schedule for Records of Short Term Value (Disposal Schedule No. 2003/10), notification is only required for the destruction of records described in Disposal Class No. 1.10.1.

Acknowledgement

The NT Archives Service and the NT Records Service acknowledge that material produced by National Archives of Australia, State Records Authority of New South Wales, State Records of South Australia, Public Records Office of Victoria, Territory Records Office and Standards Australia was used in the development of this schedule.

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 NT Archives Service and the State Records Authority of New South Wales.

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 and NT Records 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
- Ensure all copies of temporary records are destroyed in any format (including backups), unless otherwise stated in a disposal schedule
- 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 recordkeeping systems to ensure disposal actions are implemented correctly
- Identify records that require re-sentencing where a previous disposal schedule has been superseded
- 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
- Implement an appropriate and approved strategy for retention of records of continuing value, eg. preservation in original form, migration to new systems, and 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 the NT Archives Service for retention as archives not later than 30 years after creation
- 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 the NT Records Service of destruction of all records
- Do not destroy records that are not described in an authorised records disposal schedule.
- Do not destroy any records created prior to 1 July 1978 without specific authorisation from the NT Archives Service

Disposal Schedule

1. Centre for Disease Control

The function of regulating diseases in relation to sexual health, blood borne viruses, tuberculosis, leprosy, and other mycobacterial diseases. Includes injury prevention, mosquito surveillance and environmental management of disease carrying insects. Management of programs such as immunisation, community paediatrics, surveillance, Rheumatic Heart Disease and Trachoma. The function also includes research, extension services and training, maintaining registers and conducting investigations into compliance matters.

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.

| Class No. | Description of Records | Status and Disposal Action |
|-----------|--|---|
| 1.1.1 | <p>Records documenting formal advice given to the Minister in relation to the Centre for Disease Control such as policies, procedures and legislation, including the operations of the Centre for Disease Control.</p> <p>Includes gazette notices issued by the Minister under the <i>Notifiable Diseases Act</i> such as declarations of a notifiable disease, specified areas to be an isolation area, and a person or persons to come forward for a medical examination.</p> | <p>Permanent</p> <p>Transfer to NT Archives Service 10 years after action completed</p> |
| 1.1.2 | <p>Records documenting matters in relation to provision and receipt of Centre for Disease Control advice to and from government bodies, industry, and community organisations where a detailed response has not been provided.</p> <p>Includes advice to remote health services and schools regarding sexually transmitted infections, blood borne viruses and other disease outbreaks.</p> | <p>Temporary</p> <p>Destroy 3 years after action completed</p> |

1. Centre for Disease Control

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1.2 Agreements

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

| Class No. | Description of Records | Status and Disposal Action |
|-----------|---|---|
| 1.2.1 | Records documenting the establishment, negotiation, maintenance and review of major agreements by the Centre for Disease Control with other government bodies or organisations, such as the Trachoma Program. Includes memoranda of understandings, draft agreements and other related correspondence. | Permanent Transfer to the NT Archives Service 10 years after action completed |
| 1.2.2 | Records documenting the establishment, negotiation, maintenance and review of minor agreements by the Centre for Disease Control with government bodies or organisations such as Community Health and Care Centres and hospitals. Includes draft agreements and other related correspondence. | Temporary Destroy 7 years after expiry or termination of agreement |

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1.3 Authorisation

The process of seeking and granting permission to undertake requested action.

| Class No. | Description of Records | Status and Disposal Action |
|-----------|---|---|
| 1.3.1 | Records documenting the delegation of powers and functions under the <i>Notifiable Diseases Act</i> to authorised persons by the Chief Health Officer. Includes revoked delegations. | Permanent Transfer to the NT Archives Service 10 years after action completed |
| 1.3.2 | Records documenting authorisations relating to disease control under the <i>Notifiable Diseases Act</i> by medical practitioners and the Chief Health Officer such as: <ul style="list-style-type: none"> - where a person infected with a notifiable disease, or a suspect person, is detained at a hospital until further advice from a medical practitioner - closing of a premises thought to have been contaminated - goods to be destroyed, disposed of or disinfected - prohibiting the movement of a person or persons who are members of a specified class Includes signed instruments of delegation and memoranda. | Temporary Destroy 7 years after authorisation expires / is withdrawn |

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1.4 Claims

The process of administering and managing claims, including: claims demanded in accordance with an insurance policy as compensation for injury, death, or denial of rights of a person, or damage to or destruction of property; claims made in respect of rights and ownership; recompense sought for stolen or lost property; industrial relations claims; or superannuation claims.

| Class No. | Description of Records | Status and Disposal Action |
|-----------|---|---|
| 1.4.1 | <p>Records documenting approved claims for compensation submitted where persons have suffered loss, damage or destruction of their property as a result of an order by the Chief Health Officer under the <i>Notifiable Diseases Act</i>.</p> <p>Includes statements, statutory declarations, witness statements, photos, related correspondence and decisions.</p> | <p>Temporary</p> <p>Destroy 7 years after finalisation of the claim</p> |
| 1.4.2 | <p>Records documenting unsuccessful applications for compensation under the <i>Notifiable Diseases Act</i> due to failure to comply with a written order or taking reasonable precautions to prevent the need for action of removing, destroying or disposing of goods for the purpose of public health diseases control.</p> <p>Includes statements, statutory declarations, witness statements, photos, related correspondence and decisions.</p> | <p>Temporary</p> <p>Destroy 3 years after action completed</p> |
| 1.4.3 | <p>Records documenting claims for compensation where persons have suffered loss, damage or destruction of their property as a result of an order under the <i>Notifiable Diseases Act</i> given</p> | <p>Temporary</p> <p>Destroy 7 years after finalisation of the claim</p> |

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| Class No. | Description of Records | Status and Disposal Action |
|-----------|---|----------------------------|
| | by an unauthorised person. Includes copies of local court orders to the unauthorised person found guilty by the Crown in respect of loss or damage to that person's property where a full or partial refund is given to the Crown. | |

1. Centre for Disease Control

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1.5 Committees

The activities associated with the management of committees, sub committees, councils, forums working groups, boards and task forces (internal and external, private, community, local, state, national, international, 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 documenting national and inter-governmental committees where the Centre for Disease Control is the NT Government's main representative, such as the Sexual Health Advisory Group, National Immunisation Committee and the Communicable Diseases National Association. Includes: - agendas - final versions of minutes - discussion papers - decision register | Permanent Transfer to the NT Archives Service 10 years after action completed |
| 1.5.2 | Records documenting the Centre for Disease Control's internal administrative committees, or inter-departmental formal committees, where the agency is not the NT Government's main representative. | Temporary Destroy 5 years after action completed |
| 1.5.3 | Working papers documenting the conduct and administration of the Centre for Disease Control committees. Includes: - draft agenda and minutes - notices of minutes - venue and catering arrangements | Temporary Destroy when reference ceases |

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1.6 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.

| Class No. | Description of Records | Status and Disposal Action |
|-----------|--|---|
| 1.6.1 | <p>Master set of proceedings of conferences organised by the agency relating to Centre for Disease Control functions.</p> <p>Includes final papers presented by agency staff.</p> | <p>Permanent</p> <p>Transfer to NT Archives Service 10 years after action completed</p> |
| 1.6.2 | <p>Records documenting conferences organised or attended by Centre for Disease Control representatives, including the administrative arrangements of conferences organised by the agency, catering, draft programs, proceedings, publicity, speakers, travel arrangements, topics and venues.</p> <p>Includes copies of invoices, travel arrangements, proceeding papers and approval forms.</p> | <p>Temporary</p> <p>Destroy 5 years after conference</p> |

1. Centre for Disease Control

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1.7 Control

The activities associated with creating, maintaining and evaluating control mechanisms, e.g. Thesaurus.

| Class No. | Description of Records | Status and Disposal Action |
|-----------|--|--|
| 1.7.1 | <p>Centre for Disease Control registers such as:</p> <ul style="list-style-type: none"> - NT Notifiable Disease Register of persons infected and suspects - Cerebral Palsy Register (national) and NT - Rheumatic Heart Disease Register (NT & SA) - Syphilis Register | <p>Permanent</p> <p>Retain in organisation</p> |

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1.8 Enquiries

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

| Class No. | Description of Records | Status and Disposal Action |
|-----------|---|---|
| 1.8.1 | Records documenting Centre for Disease Control enquiries regarding routine information about the agency and its services such as programs, procedures and training. | Temporary Destroy 2 years after action completed |

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1.9 Extension Services

The activities involved in planning and developing educational activities and programs which raise awareness and understanding of the broader role of the organisation.

| Class No. | Description of Records | Status and Disposal Action |
|-----------|--|--|
| 1.9.1 | <p>Records documenting the planning and development of educational activities and material for the purpose of raising awareness of the role of the Centre for Disease Control, including media campaigns such as measles and flu, World Aids Day, Stinger and Fireworks Safety and other health promotion activities.</p> <p>Includes approval memoranda, estimates, plans, photographs, fact sheets and copies of promotional material.</p> | <p>Temporary</p> <p>Destroy 5 years after action completed</p> |

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1.10 Grant Allocation

The process of administering the provision of grants to other organisations.

| Class No. | Description of Records | Status and Disposal Action |
|-----------|---|--|
| 1.10.1 | Records documenting the receipt of applications from non-government sources for Centre for Disease Control grant funding, such as Menzies School of Health and the Red Cross. | Temporary Destroy 7 years after grant acquitted |

1. Centre for Disease Control

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1.11 Planning

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

| Class No. | Description of Records | Status and Disposal Action |
|-----------|--|---|
| 1.11.1 | Final versions of the Centre for Disease Control strategic plans. Includes implementation plans and reporting on key performance indicators to the Chief Executive Officer. | Temporary Destroy 7 years after plan is superseded |
| 1.11.2 | Records documenting the development and review of the Centre for Disease Control business plans. Includes draft versions, advice received from stakeholders and file notes. | Temporary Destroy 3 years after action completed |

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1.12 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.

| Class No. | Description of Records | Status and Disposal Action |
|-----------|--|---|
| 1.12.1 | Master set of Centre for Disease Control policies such as the Sexual Health and Blood Borne Virus Policies. | Permanent Transfer to the NT Archives Service 10 years after action completed |
| 1.12.2 | Records documenting the development of policies relating to the Centre for Disease Control function. Includes consultation papers, drafts, policy proposals, research papers and comments. Use STRATEGIC MANAGEMENT - POLICY for records documenting the agency's strategic management policy. | Temporary Destroy 5 years after policy is superseded |

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1.13 Procedures

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

| Class No. | Description of Records | Status and Disposal Action |
|-----------|---|---|
| 1.13.1 | Master set of procedures and guidelines of the Centre for Disease Control, including manuals such as the Rheumatic Heart Disease Registry, procedure manual and the guidelines for the management and control of tuberculosis and leprosy. | Permanent Transfer to the NT Archives Service 10 years after action completed |
| 1.13.2 | Records documenting the development of agency procedures and guidelines in relation to the Centre for Disease Control. Includes: <ul style="list-style-type: none"> - background research - draft versions of procedures containing significant amendments - notes on stakeholder consultation | Temporary Destroy 2 years after procedures superseded |

1. Centre for Disease Control

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1.14 Program Management

The activities associated with managing programs designed to achieve the organisation's strategic plan objectives. Includes governance, management, planning and implementation.

| Class No. | Description of Records | Status and Disposal Action |
|-----------|---|--|
| 1.14.1 | Final versions of the Centre for Disease Control programs that are key initiatives, such as Rheumatic Heart Disease, Trachoma, Medical Entomology, Sexual Health, Blood Borne Virus, Community Paediatrics, Community Physician, Surveillance and Immunisation. Includes progress reports, implementation plans, and related correspondence. | Permanent Transfer to NT Archives Service 10 years after action completed |
| 1.14.2 | Records documenting draft versions of the Centre for Disease Control programs. Includes drafts, correspondence and feedback. | Temporary Destroy 5 years after action completed |
| 1.14.3 | Records documenting the delivery of Centre for Disease Control programs. Includes delivery plans, progress reports, file notes, minutes of meetings, statistics and other related correspondence. | Temporary Destroy 7 years after program superseded |

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1.15 Reporting

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

| Class No. | Description of Records | Status and Disposal Action |
|-----------|--|---|
| 1.15.1 | <p>Final statistical reports for the Centre for Disease Control including:</p> <ul style="list-style-type: none"> - sexually transmitted infections - HIV - Hepatitis C - occasions of service at Clinic 34 - mosquito traps analysed - children fully immunised at 12 months - children fully immunised at age 2 years - people completing treatment for tuberculosis - injury prevention statistics for aged people, indigenous people, children etc. | <p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after action completed</p> |

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1.16 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.

| Class No. | Description of Records | Status and Disposal Action |
|-----------|---|--|
| 1.16.1 | Records documenting Centre for Disease Control research data. Includes statistical data, surveys, research papers and final reports. May include raw data required to support findings of final research project. | Permanent Retain in organisation |
| 1.16.2 | Research data used for reference purposes. Includes copies of literature searches, questionnaires, statistics and other raw data not required for future reference purposes. | Temporary Destroy when reference ceases |

1. Centre for Disease Control

The function of regulating diseases in relation to sexual health, blood borne viruses, tuberculosis, leprosy, and other mycobacterial diseases. Includes injury prevention, mosquito surveillance and environmental management of disease carrying insects. Management of programs such as immunisation, community paediatrics, surveillance, Rheumatic Heart Disease and Trachoma. The function also includes research, extension services and training, maintaining registers and conducting investigations into compliance matters.

1.17 Training

The activities associated with all aspects of training.

| Class No. | Description of Records | Status and Disposal Action |
|-----------|---|--|
| 1.17.1 | Final set of training material developed by the Centre for Disease Control for the community and other trainers, such as Sexual Health Training delivered by Train the Trainers. Includes training to educate Remote Health Providers. | Temporary Destroy 10 years after action completed |
| 1.17.2 | Records documenting the development and review of the Centre for Disease Control training development material. Includes draft course development training material, draft lesson plans, draft delivery plans and file notes, delivery aids, recommendations and consultation notes. | Temporary Destroy 2 years after action completed |
| 1.17.3 | Records documenting the delivery of Centre for Disease Control training courses. Includes training calendars, lesson plans, attendance sheets, presentation notes, file notes, liaison with other organisations and feedback forms. | Temporary Destroy 5 years after action completed |