

General Retention and Disposal Authority
Common administrative records created and maintained by New
South Wales Public Offices

Authority number: GA28

Dates of coverage: 1940+

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INDUSTRIAL RELATIONS - Agreements

11.0.0 INDUSTRIAL RELATIONS

The function of establishing formal relations with the organisation's employees and their representatives to achieve a harmonious workplace. Includes negotiations conducted to obtain determinations, agreements or awards, industrial disputes settled within the organisation or by an external arbiter and reports of the state of industrial relations within the organisation.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions to the Minister or Cabinet regarding the impact of industrial relations legislation on the organisation.

See **PERSONNEL - Grievances** for records relating to employee grievances.

See **PERSONNEL - Misconduct** for records relating to disciplining employees.

Advice

See **GOVERNMENT RELATIONS - Reporting** for records relating to notification of disputes and briefings to government on industrial relations matters.

See **INDUSTRIAL RELATIONS** relevant activity for records relating to advice given or received on industrial relations issues, e.g. use INDUSTRIAL RELATIONS – AGREEMENTS for advice given or received during the process of negotiating agreements or awards, e.g. use INDUSTRIAL RELATIONS – DISPUTES for records relating to advice given or received regarding the management of disputes.

See **LEGAL SERVICES - Advice** for records relating to legal advice furnished to the organisation by external or internal legal service providers on industrial relations matters

11.1.0 Agreements

The processes associated with the establishment, negotiation, maintenance and review of agreements and awards. Includes enterprise agreements, standard agreements and certified agreements resulting from negotiation or bargaining.

See **CONTRACTING-OUT** for records relating to acquisition of services through a contracting-out or outsourcing process.

See **PERSONNEL - Employee service history** for records relating to individual workplace agreements.

See **TENDERING** for records relating to receiving and assessing tenders.

11.1.1	<p>Records relating to the establishment, negotiation, maintenance and review of awards or agreements heard or certified by the central arbitration or determining body where the organisation is the main participant in negotiations. Includes enterprise and contract agreements and standard agreements used as the basis for Australian Workplace Agreements. Records include:</p> <ul style="list-style-type: none"> • background research • records of consultations 	<p>Retain minimum of 10 years after expiry of agreement, then destroy</p>
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INDUSTRIAL RELATIONS - Agreements

	<ul style="list-style-type: none"> • draft versions of awards or agreements exchanged between parties • final, approved versions of awards or agreements • arbitrated variations and consent variations to awards. <p>Note: Final, approved versions of awards or agreements and variations to awards may need to be kept for longer periods if relevant to compensation cases.</p>	
11.1.2	Records relating to the establishment, negotiation, maintenance and review of awards or agreements heard or certified by the central arbitration or determining body where the organisation is not the main participant in negotiations. Includes final, approved versions of agreements and records relating to implementation of agreements.	Retain minimum of 5 years after expiry of agreement, then destroy
11.1.3	Records relating to the establishment, negotiation, maintenance and review of agreements concerning the implementation of working conditions or practices within a particular workplace that are not heard or certified by the central arbitration or determining body, e.g. agreements between management and unions on behalf of employees, such as agreements for flexible work practices, working from home, or skill based competencies. Includes negotiations, final, approved versions of agreements and records relating to implementation of agreements.	Retain minimum of 5 years after expiry of agreement, then destroy
11.1.4	Records relating to negotiations regarding conditions and awards that have not resulted in agreements.	Retain minimum of 5 years after action completed, then destroy

Allowances

See **FINANCIAL MANAGEMENT - Salaries** for records relating to financial transactions for the payment of allowances, e.g. payments authorised by industrial instruments, payments to attend meetings and events regarding industrial relations such as Workplace Relations Committee meetings.

See **PERSONNEL - Advice** for records relating to the management of terms and conditions regarding allowances.

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INDUSTRIAL RELATIONS - Appeals

11.2.0 Appeals

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

See **PERSONNEL - Misconduct, Grievances or Recruitment** for records relating to appeals made to external organisations, e.g. Government and Related Employees Appeals Tribunal (GREAT), Transport Appeals Board (TAB) and Statutory and Other Offices Remuneration Tribunal.

11.2.1	Records relating to appeals against a decision or order made to an external industrial relations body, e.g. the Industrial Relations Commission, where the organisation is the major participant in negotiations.	Retain minimum of 15 years after action completed, then destroy
11.2.2	Records relating to appeals against a decision or order made to an external industrial relations body, e.g. the Industrial Relations Commission, where the organisation is not the major participant in negotiations.	Retain minimum of 5 years after action completed, then destroy

11.3.0 Claims

The process of administering and managing payments demanded in accordance with an insurance policy as compensation for loss incurred by industrial action.

See **INDUSTRIAL RELATIONS - Insurance** for records relating to the management of insurance policies.

11.3.1	Records relating to insurance claims for damage or loss incurred by the organisation resulting from industrial action, e.g. claim for impact on revenue resulting from industrial action.	Retain minimum of 7 years after finalisation or withdrawal of claim, then destroy
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Committees

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc including workplace relations committees.

Compliance

See the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to monitor and assess the compliance of other organisations with industrial relations regulations, policies, standards etc.

See **LEGAL SERVICES - Litigation** for records relating to prosecution of the organisation for breaches of compliance requirements.

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INDUSTRIAL RELATIONS - Disputes

Contracting-out

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

11.4.0 Disputes

The process of handling any disagreement pertaining to awards, agreements, demarcation issues, breaches of injunctions, secret ballots, etc. Includes activities involved in dealing with a failure or refusal to attend or perform work such as lock-outs, strikes etc.

See **LEGAL SERVICES - Advice** for records relating to legal advice furnished to the organisation by external or internal legal service providers about industrial relations disputes.

See **PERSONNEL - Misconduct** for records relating to disciplining employees.

11.4.1	<p>Records relating to the management of industrial disputes of a significant nature where the organisation is a primary party to the negotiations or resolution of the dispute. Significant disputes can include those:</p> <ul style="list-style-type: none"> • resulting in a strike, ban or lock-out • that set precedents, or • that result in innovative or contentious changes to working conditions. <p>Records include:</p> <ul style="list-style-type: none"> • notifications to the Minister • records of liaison with the relevant lead organisation • records of discussions, meetings and conferences between parties • records of hearings by the arbitration or determining body (e.g. Industrial Relations Commission, Australian Industrial Relations Commission and predecessor organisations) • records of hearings before the Federal Court and predecessor organisations • communications with employees. 	Required as State archives
11.4.2	<p>Records relating to the management of industrial disputes of a minor nature, or of a significant nature where the organisation is not a primary party to the negotiations or resolution of the dispute.</p>	Retain minimum of 5 years after action completed, then destroy

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INDUSTRIAL RELATIONS - Grievances

Enterprise bargaining

See **INDUSTRIAL RELATIONS - Agreements** for records relating to the establishment, negotiation, maintenance and review of awards or agreements including enterprise and contract agreements and standard agreements used as the basis for Australian Workplace Agreements.

See **PERSONNEL - Employee service history** for records relating to individual workplace agreements.

11.5.0 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.

See **INDUSTRIAL RELATIONS - Disputes** for records relating to grievances which escalate into disputes or industrial action.

See **PERSONNEL - Grievances** for records relating to individual grievances raised by employees.

11.5.1	Records relating to the handling and resolution of employee grievances and complaints raised by representatives on behalf of employees that have unit, organisational or sector-wide impact. Includes records relating to liaison with employees, union representatives and the lead organisation.	Retain minimum of 10 years after action completed, then destroy
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Industrial action

See **INDUSTRIAL RELATIONS - Disputes** for records relating to disputes including those that result in industrial action.

Inspections

See **INDUSTRIAL RELATIONS - Disputes** for records relating to inspections carried out as a result of industrial relations disputes.

11.6.0 Insurance

The process of taking out premiums to cover loss or damage incurred by the organisation resulting from industrial action.

See **FINANCIAL MANAGEMENT - Reporting** for records relating to reporting to Treasury on yearly premium renewals for insurance policies.

11.6.1	Insurance policies including information provided for renewals.	Retain minimum of 7 years after expiry of policy, then destroy
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INDUSTRIAL RELATIONS - Insurance

11.6.2	General insurance records. Records include: <ul style="list-style-type: none"> • routine correspondence such as notice of renewals, advice on premiums payable • statistics. 	Retain minimum of 1 year after action completed, then destroy
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11.7.0 Meetings

The activities associated with gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the organisation and its relationships with unions, employee associations, etc. Includes arrangements, agenda, taking of minutes etc.

See the relevant function/activity for records relating to meetings held as part of the management or conduct of those activities or processes, e.g. use **INDUSTRIAL RELATIONS - AGREEMENTS** for records relating to meetings held to negotiate agreements, e.g. use **INDUSTRIAL RELATIONS - DISPUTES** for records relating to meetings between parties involved in dispute resolution, e.g. use **INDUSTRIAL RELATIONS - GRIEVANCES** for records relating to meetings with employees over grievances.

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties, etc., including workplace relations committees.

See **GOVERNMENT RELATIONS - Meetings** for records relating to meetings between Chief Executives and Ministers, Ministerial employees or senior executives of other government organisations when those meetings are not related to specific functions and activities.

See **STRATEGIC MANAGEMENT - Meetings** for records relating to general, section or unit meetings of employees.

11.7.1	Records relating to ad hoc meetings held regarding industrial relations issues, e.g. ad hoc meetings between management and unions or employee associations. Does not include records relating to meetings for the resolution of substantive industrial relations issues, e.g. disputes.	Retain minimum of 5 years after action completed, then destroy
11.7.2	Administrative arrangements for meetings. Records include: <ul style="list-style-type: none"> • meeting notifications • catering arrangements • venue bookings • accommodation and transport arrangements • related correspondence. 	Retain until administrative or reference use ceases, then destroy

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INDUSTRIAL RELATIONS - Planning

11.8.0 Planning

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

See **STRATEGIC MANAGEMENT - Planning** for records relating to strategic, corporate or business planning.

11.8.1	Final, approved versions of plans for industrial relations, e.g. dispute contingency plans, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.	Retain minimum of 5 years after plan is superseded, then destroy
11.8.2	Records relating to the development and review of the organisation's industrial relations plans, e.g. dispute contingency plans. Records include: <ul style="list-style-type: none"> • background research • draft versions of plans containing significant changes/alterations or formally circulated for comment • notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, stakeholders, etc. 	Retain minimum of 3 years after action completed, then destroy

11.9.0 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.

See **GOVERNMENT RELATIONS - Policy** for records relating to advice or notifications regarding policies that apply to the whole-of-government, e.g. Premier's Memoranda and Circulars, Treasurer's Directions.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government-wide policies developed by central coordinating agencies.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies by the organisation.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the organisation's policies on cross-functional or organisation-wide matters.

11.9.1	Final, approved versions of policies on industrial relations issues, e.g. policies on working from home, flexible work practices, and associated correspondence indicating who the policies apply to and responsibilities for their implementation. Note: Records may need to be retained for longer periods if relevant to disputes or grievances or workers	Retain minimum of 10 years after policy is superseded, then destroy
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INDUSTRIAL RELATIONS - Policy

	compensation claims.	
11.9.2	<p>Records relating to the development and review of policies on industrial relations issues, e.g. policies on working from home, flexible work practices. Records include:</p> <ul style="list-style-type: none"> • policy proposals • background research • records of consultations • draft versions of policies containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders, etc. 	Retain minimum of 5 years after action completed, then destroy

11.10.0 Procedures

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

See **STAFF DEVELOPMENT - Training** for records relating to training in procedures.

See **STRATEGIC MANAGEMENT - Procedures** for records relating to quality assurance procedures.

11.10.1	<p>Final, approved versions of manuals, handbooks, directives, etc., detailing industrial relations procedures, e.g. procedures regarding flexible work practices, working from home, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.</p> <p>Note: Records may need to be retained for longer periods if relevant to disputes or grievances or workers compensation claims.</p>	Retain minimum of 10 years after procedures are superseded, then destroy
11.10.2	<p>Records relating to the development and review of the organisation's industrial relations procedures, e.g. procedures regarding flexible work practices, working from home. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders. 	Retain minimum of 5 years after action completed, then destroy

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INDUSTRIAL RELATIONS - Reporting

11.11.0 Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and providing formal statements or findings of the results of the examination or investigation.

See **PUBLICATION - Production** for records relating to the design, layout, printing, etc., of the organisation's reports, including annual reports.

11.11.1	<p>Records relating to formal reports regarding industrial relations programs, services and systems. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 7 years after action completed, then destroy
11.11.2	<p>Records relating to periodic internal reports on general administrative matters used to monitor and document recurring activities regarding industrial relations programs and services. Records include:</p> <ul style="list-style-type: none"> • background research, e.g. collection of statistics • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 3 years after action completed, then destroy

Research

See the organisation's functional retention and disposal authority for records relating to research if research is a core function of the organisation.

See the relevant function/activity for records relating to background research undertaken when developing particular products or documentation, e.g. use INDUSTRIAL RELATIONS – AGREEMENTS for records relating to research for the formulation of agreements and awards, e.g. use INDUSTRIAL RELATIONS – PLANNING, INDUSTRIAL RELATIONS – POLICY or INDUSTRIAL RELATIONS – PROCEDURES for records relating to background research for the development and review of plans, policies and procedures.