

## RECORDS MANAGEMENT POLICY

Policy number	POL048	Version	002
Drafted by	PM	Approved by Branch Executive on	12 November 2013
Responsible person	Business Manager	Scheduled review date	May 2015

### INTRODUCTION

In order for the Union to run efficiently and to meet certain legislative requirements (e.g. taxation and industrial laws) it is necessary for the Union to have effective record management processes.

### PURPOSE

The purpose of this policy is to ensure that the Union has effective record management processes in place.

### DEFINITIONS

The term 'record' has the same meaning as defined in Section 9 of the *Territory Records Act 2002*: 'a record, in written, electronic or any other form, under the control of the agency or to which it is entitled to control, kept as a record of its activities, whether it was created or received by the agency'.

### POLICY

The Union must have effective processes to create, maintain, store, update and dispose of its records in order to fulfil its legislative requirements and to ensure that the Union is managed efficiently.

Records are created and kept as evidence of the Union's functions, activities and transactions and can be stored and managed in any format (e.g. paper, video, photograph, microfilm, electronically).

The storage of relevant email records will be done in accordance with the Email Retention and Storage Policy.

### AUTHORISATION

Secretary  
AEU ACT Branch

## RECORDS MANAGEMENT PROCEDURES

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### RESPONSIBILITIES

It shall be the responsibility of the Secretary to monitor the implementation of this policy.

The Business Manager shall be responsible for creating, maintaining, storing, updating and disposing of all necessary records.

Employees shall be responsible for adhering to all record management processes put in place by the Business Manager.

### PROCEDURES

The Business Manager will ensure there are effective processes in place for the management of all necessary Union records.

In particular these processes must comply with all legislative compliance requirements of the Union.

The Business Manager will conduct an annual review of these processes and provide a written report to the Secretary, in accordance with the Legislative Compliance Policy.

### Union Record Categories

For the purpose of determining the appropriate disposal action, all Union records will be classified into the following categories:

#### ***Advice***

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

#### ***Agreements***

The processes associated with the establishment, maintenance, review and negotiation of agreements (other than industrial agreements for AEU members) to which the AEU ACT Branch is legally bound. Includes records associated with preparing and settling agreements/contracts such as memoranda of understanding (MOU), deeds, leases, licences and mortgages.

#### ***Appeals (Decisions)***

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

#### ***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 Union in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

### **Awards**

The process within the Fair Work Commission of creating and varying Modern Awards which underpin the industrial agreements that applies to AEU members. Includes all files in the AEU ACT Branch File List under B - Union Awards (other than Compliance file, B48)

### **Campaigns**

The activities associated with the development and implementation of all industrial (other than enterprise bargaining), professional and social justice campaigns in which the Union is involved either alone or in collaboration with other Unions or organisations.

### **Committees**

The activities associated with the establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas, etc. of committees, reviews and task forces both internal and external to the Union. Includes all files in the AEU ACT Branch File List under D - ACT Education Working Parties/Reviews etc.

### **Compliance**

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation, with national and international standards, such as the ISO 9000 series and with *Fair Work Act* processes for rule changes and elections.

### **Contracting out**

The activities involved in managing the performance of work or the provision of goods and services by an external contractor, vendor or consultant, or by using external bureau services.

### **Disputes**

The process of handling any industrial or professional dispute between the AEU ACT Branch and the Territory as the employer of all AEU members or the Federal government as a key stakeholder in public education.

### **Employee Records**

The documenting of the employment relationship and history of staff within the AEU ACT Branch. It includes all information normally found on a staff member's personnel file such as salary, allowances, leave taken etc.

### **Enterprise Bargaining**

The process where AEU ACT Branch members negotiate increased pay or other benefits with their employers in exchange for implementation of working arrangements that improve the performance of the agency. Includes activities associated with establishing and implementing an enterprise agreement under the *Fair Work Act 2009*.

### **Financial Records**

The documenting of all financial activities and financial management of the AEU ACT Branch. It includes all files in the AEU ACT Branch Finance File List and any other records pertaining to income and expenditure, taxation matters, asset management, budgets, audited financial statements etc.

***Government Departments/Organisations/Political Parties***

The documenting of all general correspondence to and from all ACT and Federal Government Departments. Includes all files in the AEU ACT Branch File List under C - Government Departments (Federal), C - ACT Government (other than Committee or Industrial and Professional Matters files) and G - Organisations, Political Parties.

***Grievances***

The activities associated with the handling and resolution of grievances raised by either AEU members or Union employees about the operation of the AEU ACT Branch. 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.

***Industrial and Professional Matters***

The activities associated with the Union's involvement in any industrial (other than enterprise bargaining or campaigns) or professional matter on behalf of its members. Includes all files in the AEU ACT Branch File List under E - Staffing Classifications, Appointments, Transfer and Promotion, F - Working Conditions and H - Educational and General Issues (other than Research matters).

***Insurance***

The process of taking out premiums to cover loss or damage to property or premises, and to cover customers and staff against injury or death resulting from incidents on the Union's premises or whilst engaged during employment. It includes the provision by the AEU ACT Branch of Journey Cover insurance for its members and Professional Liability Insurance for its staff and Branch Executive.

***Meetings***

The activities associated with regular or ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the operation of the Union. Includes staff meetings, arrangements, agenda, taking of minutes etc. Excludes committee meetings.

***Membership Records***

The activities associated with the handling of any matters concerning individual members or Sub-Branched of members. Includes all files in the AEU ACT Branch File List of Individual Members and Sub-Branched.

***Other Unions/Organisations***

The activities undertaken by other Unions or organisations. Includes services those bodies provide, correspondence to and from those bodies and minutes of meetings of those bodies (e.g UnionsACT Council). Also Includes all files in the AEU ACT Branch File List under A - Other Unions/Services.

***Planning***

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

***Policies and Procedures***

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 Union's operating procedures are determined. Includes the AEU ACT Branch Policy and Procedures Manual and all industrial and professional policies determined by the Union.

***Property Management***

The activities associated with the efficient management of all property owned by the AEU ACT Branch. Includes management of rental property owned by the Branch.

***Reporting***

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of Union policies, regulation, or legislation, e.g. Annual Report). Includes statistics and returns.

***Research***

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles, etc. Used to support development of campaigns, projects, standards, guidelines, etc. and Union activities in general. Includes following up enquiries relating to programs, projects, working papers, literature searches, etc.

**Record Management Disposal Action**

The disposal action required for each of these categories is as contained in the Record Management Disposal Schedule at Appendix A.

**RELATED DOCUMENTS**

- Email Retention and Storage Policy (POL024)
- Legislative Compliance Policy (POL034)

**AUTHORISATION**

Secretary  
AEUACT Branch

## APPENDIX A

### RECORD MANAGEMENT DISPOSAL SCHEDULE

**\*NB: Unless otherwise stated, the 'Source of Guidance/Authority' for each Disposal Action is the: Territory Records (Records Disposal Schedule- Industrial Relations Records) Approval 2011 No.1**

RECORD CATEGORY	RECORD CATEGORY DESCRIPTION	DISPOSAL ACTION	SOURCE OF GUIDANCE/ AUTHORITY
<b>Advice</b>	Written advice provided to Branch Executive or Branch Council and associated working papers that affects significant change and/or relates to controversial matters	Archive permanently	*NB
	Written advice provided to Branch Executive or Branch Council and associated working papers that pertain to less important matters	Destroy 5 years after action completed	*NB
<b>Agreements</b>	Final version of agreements and any associated working documents made relating to financial management (e.g. property rental agreements, credit card contracts, AEU ACT Officer and Employee Enterprise Agreement).	Destroy 7 years after expiry or other termination of agreement	Territory Records (Records Disposal Schedule - Financial Management Records) Approval 2011 No.1
	Records documenting cases covering awards and agreements where the Branch had little or no input.	Destroy 5 years after action completed	*NB
<b>Appeals</b>	Records documenting appeals made to the central arbitration or determining body against a decision or an order where the AEU ACT Branch is a major participant in negotiations and/or proceedings	Archive permanently	*NB
	Records documenting appeals against a decision or an order where the AEU ACT Branch had little or no input into the negotiations.	Destroy 2 years after action completed	*NB
<b>Audit</b>	Records documenting the planning and conduct of internal and external audits	Destroy 10 years after action completed, if audit required significant changes. Otherwise destroy after 5 years.	*NB and Territory Records (Records Disposal Schedule - Financial Management Records) Approval 2011 No.1
<b>Awards</b>	Records documenting cases covering awards heard or certified by the central arbitration or determining body (e.g. Fair	Archive permanently	*NB

	Work Commission) where the AEU ACT Branch is a major participant in negotiations and/or proceedings. Includes arbitrated variations and consent variations to an award.		
<b>Campaigns</b>	Records documenting the Union's involvement in ACT, national or international campaigns to promote industrial (other than enterprise bargaining), professional or social justice issues.	Archive permanently	Consistent with Enterprise Bargaining in *NB
	Records documenting campaigns undertaken by other Unions or organisations with little if any involvement by the Union.	Destroy 5 years after action completed	Consistent with *NB
<b>Committees</b>	Records of high level internal and external committees, boards, institutes, etc. (e.g. Branch Executive, Branch Council, ETD Consultative Committee, Teacher Quality Institute Board, Joint Council etc.). Includes: <ul style="list-style-type: none"> <li>• documents establishing the committee</li> <li>• agendas</li> <li>• minutes</li> <li>• reports</li> <li>• recommendations</li> <li>• supporting documents such as briefing and discussion papers.</li> </ul>	Archive permanently	*NB
	Records of other committees (such as Human Resource Committee and Finance) formed to consider matters of a more routine nature. Includes: <ul style="list-style-type: none"> <li>• documents establishing the committee</li> <li>• final versions of minutes</li> <li>• reports</li> <li>• recommendations</li> <li>• supporting documents such as briefing papers</li> </ul>	Destroy 10 years after action completed	*NB
<b>Compliance</b>	Records documenting the AEU ACT Branch's compliance with mandatory or optional standards or with statutory requirements (e.g. election of officers)	Destroy 7 years after action completed	*NB
	Records documenting Union breaches of any legislative compliance obligations	Archive permanently	*NB
	Records documenting any changes to the ACT Federal Branch Rules	Archive permanently	Consistent with *NB
<b>Contracting Out</b>	Records documenting contract management of Union activities. Includes: <ul style="list-style-type: none"> <li>• minutes of meetings with main stakeholders</li> <li>• performance and evaluation reports</li> </ul>	Destroy 7 years after completion or other termination of agreement or contract	*NB
<b>Disputes</b>	Records documenting the management of Union industrial and professional disputes	Destroy 6 years after action	*NB

	with the ACT Government and/or the Federal government	completed	
<b>Employee Records</b>	Records documenting the employment relationship and history of staff within the AEU ACT branch, other than those specifically referred to below. Includes: <ul style="list-style-type: none"> <li>• Appointment letter/contract</li> <li>• Salary and allowances</li> <li>• Higher duties</li> <li>• Leave taken</li> <li>• Termination documents</li> <li>• Other records required to be kept under the <i>Fair Work Act 2009</i> and its regulations</li> </ul>	Destroy 7 years after employment terminates	<i>Fair Work Act 2009</i> , s 535 and Fair Work Regulations 2009, Ch3, Part 3-6, Sub-Division 1
	Records documenting the payment of employees' salaries. Includes: <ul style="list-style-type: none"> <li>• taxation declaration records</li> <li>• group certificates</li> <li>• payroll deduction authorities</li> <li>• records relating to the recovery of overpayments</li> <li>• deductions to satisfy a judgement debt</li> <li>• employee pay history records</li> </ul>	Destroy 7 years after employment terminates <i>(However note that the ACT government provision is Destroy 75 years after date of birth of employee or 7 years after last action, whichever is later)</i>	Fair Work Act 2009, s 535 and Fair Work Regulations 2009, Ch3, Part 3-6, Sub-Division 1 [Territory Records (Records Disposal Schedule - Personnel Records) Approval 2011 No.1]
	Records of Recruitment Panels. Includes: <ul style="list-style-type: none"> <li>• Job advertisement</li> <li>• Employee applications</li> <li>• Referee reports</li> <li>• Job descriptions</li> <li>• Panel recommendations</li> </ul>	Destroy 1 year after recruitment completed	Territory Records (Records Disposal Schedule - Personnel Records) Approval 2011 No.1
<b>Enterprise Bargaining</b>	Records documenting negotiation, establishment and implementation of Enterprise Agreements made under the <i>Fair Work Act 2009</i> . Includes: <ul style="list-style-type: none"> <li>• negotiations with joint union and ACT government agency representatives</li> <li>• records documenting the conduct of any member's ballot</li> <li>• draft agreements</li> <li>• liaison with the Territory's lead agency (i.e. Chief Minister's and Cabinet)</li> <li>• Ministerial meetings</li> <li>• records to support lodgement with the Fair Work Commission Registry</li> <li>• certified copies of final agreements</li> <li>• minutes and associated working papers of</li> </ul>	Archive permanently	*NB



	consultative committee meetings considering issues relating to the implementation of enterprise agreements.		
	Records documenting negotiations, establishment and implementation of other industrial relations agreements (e.g. ACT Government MOU)	Archive permanently	*NB
	Records documenting the taking of industrial action (e.g. strikes, bans, lockouts, go-slows, work-to-rule). Includes: <ul style="list-style-type: none"> <li>• notifications to the Minister/Director General</li> <li>• liaison with the relevant agency</li> <li>• discussions/meetings and conferences between parties</li> <li>• hearings before arbitrators, commissions or tribunals (e.g. Fair Work Commission)</li> <li>• hearings before the Federal Court</li> <li>• communications with members.</li> </ul>	Archive permanently	*NB
<b>Financial Records</b>	All records documenting the financial activities and financial management of the AEU ACT branch, other than those specifically referred to below.	Destroy 7 years after last action	<i>Corporations Act, s9 and s286</i>
	Records documenting taxation matters. Includes: <ul style="list-style-type: none"> <li>• assessment of Fringe Benefits Tax (FBT) and Capital Gains Tax (CGT)</li> <li>• assessment and payment of Goods and Services Tax (GST), including business activity statements and tax invoices</li> <li>• requests for exemption</li> </ul>	Destroy 5 years after last action	<i>Income Tax Assessment Act 1936 (s262A, s160, s22U)</i> <i>FBT Tax Assessment Act 1986</i> <i>Taxation Administration Act (s70)</i>
	Final version of agreements and any associated working documents made relating to financial management (e.g. property rental agreements, credit card contracts, AEU ACT Officer and Employee Enterprise Agreement).	Destroy 7 years after expiry or other termination of agreement	Territory Records (Records Disposal Schedule - Financial Management Records) Approval 2011 No.1
	Records documenting the valuation of significant assets owned by the AEU ACT Branch (e.g. property)	Archive permanently	As above
	Delegations of power to Union staff to authorise financial activities and transactions or take administrative action related to financial activities (e.g. delegation to approve expenditure or appointment of a person to countersign cheques).	Destroy 10 years after delegation superseded or action completed	As above

	Final versions of the AEU ACT Branch financial statements. Includes: <ul style="list-style-type: none"> <li>• annual budget</li> <li>• audited financial statements</li> <li>• ☑ working papers.</li> </ul>	Archive permanently	As above
<b>Government Departments/Organisations/Political Parties</b>	Records documenting general correspondence from all ACT and Federal Government departments, external organisations and political parties	Destroy 5 years after action completed	Consistent with *NB
<b>Grievances</b>	Records documenting both member or Union employee grievances and complaints about the operation of the AEU ACT Branch.	Destroy 6 years after action completed	*NB
<b>Industrial and Professional Matters</b>	Records documenting the Union involvement in any industrial or professional matter associated with its members	Destroy 6 years after action completed	Consistent with *NB
<b>Insurance</b>	Insurance policies	Destroy 7 years after policy expires	*NB
	Records documenting the annual renewal of insurance policies.	Destroy 1 year after action completed	*NB
<b>Meetings</b>	Final version of minutes and supporting documents tabled at internal meetings of the Union (e.g. weekly consultative meetings with staff)	Destroy 6 years after action completed	*NB
<b>Membership Records</b>	Records documenting any request for assistance from the AEU ACT Branch by individual members or Union Sub-Branches.	Destroy 6 years after action completed	Conforms with Disposal Action for Grievances and Disputes *NB
	Records documenting the granting of AEU life membership and certificates of appreciation and commendation	Archive permanently	Current practice
<b>Other Unions/Services</b>	Records documenting the activities undertaken by other Unions or organisations. Includes services those bodies provide, correspondence to and from those bodies and minutes of meetings of those bodies (e.g. UnionsACT Council)	Destroy 5 years after action completed	Consistent with *NB
<b>Planning</b>	Final versions of plans relating to the operation of the Union, ACT Government and relevant agencies	Destroy 5 years after plan is superseded	*NB
	Working papers used to develop all Union plans. Includes: <ul style="list-style-type: none"> <li>• working papers</li> <li>• draft plans</li> <li>• reports analysing issues</li> <li>• comments received from other sources.</li> </ul>	Destroy 1 year after adoption of final plan	*NB
<b>Policies and Procedures</b>	Records documenting the development and establishment of the Union's industrial and professional policies. Includes:	Archive permanently	*NB

	<ul style="list-style-type: none"> <li>• policy proposals</li> <li>• research papers</li> <li>• results of consultations</li> <li>• supporting reports</li> <li>• major drafts</li> <li>• final policy documents.</li> </ul>		
	Records documenting comments made by the Union on external policies and procedures.	Destroy 3 years after start of policy commented upon	*NB
	Approved version of the administrative policies and procedures contained within the AEU ACT Branch Policy and Procedures Manual.	<p>Destroy 7 years after financial management policies and/or procedures are superseded</p> <p>Destroy 5 years after all other policies and/or procedures are superseded</p>	<p>Territory Records (Records Disposal Schedule- Financial Management Records) Approval 2011 No.1</p> <p>*NB</p>
<b>Property Management</b>	Records documenting the management of all property and equipment owned, leased or rented by the AEU ACT Branch	Destroy 7 years after action completed	Based on retention of financial records under s9 and s286 of the <i>Corporations Act</i>
<b>Reporting</b>	Final versions of formal reports made to all Union members (e.g. Annual Report)	Archive permanently	Current practice
<b>Research</b>	Records documenting detailed research carried out by the Union or on behalf of the Union.	Archive permanently	Current practice