

Territory Records (Records Disposal Schedule – Human Resources Records) Approval 2017 (No 1)

Notifiable instrument NI2017—79

made under the

Territory Records Act 2002, s 19 (Approval of schedules for the disposal of records)

1 Name of instrument

This instrument is the Territory Records (Records Disposal Schedule – Human Resources Records) Approval 2017 (No 1).

2 Commencement

This instrument commences on 27 February 2017.

3 Approval

I approve the Records Disposal Schedule – Human Resources Records.

4 Revocation

This instrument revokes:

Territory Records (Records Disposal Schedule - Compensation Records) Approval 2012 (No 1) NI2012-183;

Territory Records (Records Disposal Schedule - Territory Administrative Records Disposal Schedules - Establishment Records) Approval 2009 (No 1) NI2009-437;

Territory Records (Records Disposal Schedule - Territory Administrative Records Disposal Schedules - Industrial Relations Records) Approval 2011 (No 1) NI2011-90;

Territory Records (Records Disposal Schedule - Personnel Records) Approval 2015 (No 1) NI2015-358; and

Territory Records (Records Disposal Schedule - Territory Administrative Records Disposal Schedules - Occupational Health and Safety Records) Approval 2009 (No 1) NI2009-444

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Director of Territory Records
16 February 2017



Records Disposal Schedule

Human Resources Records

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INTRODUCTION

The *Records Disposal Schedule - Human Resources Records* is the official authority for the disposal of these ACT Government Records.

It is one of a series of Whole of Government Records Disposal Schedules authorised by the Director of Territory Records in accordance with the provisions of the *Territory Records Act 2002*. It is used in conjunction with other Territory Records Disposal Schedules.

PURPOSE

The purpose of this Records Disposal Schedule is to provide for the authorised disposal of records created or maintained by ACT Government Agencies.

SCOPE

This Records Disposal Schedule applies to records created or maintained by ACT Government Agencies. It applies to records in any format, including electronic records.

AUTHORITY

The Director of Territory Records, in consultation with stakeholders and the Territory Records Advisory Council, has approved this Records Disposal Schedule for use. The schedule does not take effect until it has been incorporated into an agency's Records Management Program that has been signed off by the Principal Officer of the agency.

Even so, officers using this Records Disposal Schedule should apply it with caution. They should be aware that the authorisations for disposal are given in terms of the *Territory Records Act 2002* only. Officers must not dispose of records in contravention of this Records Disposal Schedule or other requirements.

This Records Disposal Schedule will remain in force until a new schedule supersedes it or the Director of Territory Records withdraws it from use.

STRUCTURE AND RELATIONSHIP TO THE WHOLE OF GOVERNMENT THESAURUS

A Records Disposal Schedule generally specifies retention periods. That is, how long records are to be retained by the agency before being destroyed or retained as Territory Archives.

Retention periods set down in this schedule are minimum periods only and an agency may keep records for a longer period if considered necessary for business requirements. Reasons for longer retention could include legal requirements, administrative need or agency directives. **An agency must take all reasonable steps to ensure that no legal action is contemplated in relation to its records and must not dispose of any records where it is aware of possible legal action for which the records may be required as evidence or if there is a current records disposal freeze in effect.**

The *Records Disposal Schedule - Human Resources Records* has a hierarchical structure that reflects its arrangements according to functions and activities, rather than by subject, and this also reflects a close relationship to the Whole of Government Thesaurus. The Records Disposal Schedule is designed to be applicable to all records relating to the function described in this schedule regardless of titling conventions used, so that records, which have not been classified and titled using the terminology represented by this Records Disposal Schedule, may still be sentenced with relative ease.

Whole of Government Thesaurus

The Whole of Government Thesaurus is a controlled vocabulary of terms designed for use in the classifying, titling and indexing of records on creation.

The Whole of Government Thesaurus has been developed on the basis of the former Territory Version of Keyword AAA (TVKAAA) (2010). In the Whole of Government Thesaurus all functions are considered to be functions performed by the ACT Government and have been included following consultation with stakeholder agencies and after consideration by the Territory Records Office (TRO) via a formal approval process.

The Whole of Government Thesaurus is mandated by the Director of Territory Records for use by all ACT Government agencies as part of classifying and titling of their paper and electronic records. See also *Records Advice No.28 Functional directories on shared drives*.

The disposal actions listed in this Records Disposal Schedule were determined through the process of appraisal in accordance with *Territory Records (Records, Information and Data) Standard 2016*. Appraisal is based upon the same type of analysis of business activity employed in the classification scheme used in the Whole of Government Thesaurus. Essentially, appraisal involves attaching record retention periods and disposal decisions (and even records creation requirements and rules) to the same classification scheme.

GUIDELINES FOR USE

Coverage of authority

The *Records Disposal Schedule - Human Resources Records*:

- covers all records related to the function;
- is intended to be used in conjunction with other Territory Whole of Government Records Disposal Schedules;
- specifies the minimum period records should be kept (retention periods)
- specifies whether, upon the expiry of the retention periods, the records may be destroyed or are required as Territory Archives; and
- is applicable to records created and maintained in any format, including electronic or formats such as microfiche.

Layout of the schedule

This Records Disposal Schedule begins with an introduction incorporating definitions and the business classification scheme. Then each of the functions and activity disposal sets or 'disposal classes' relating to the functions are described. These are followed by a composite list of classes designated 'Retain as Territory Archives'. The functions and activity disposal sets show the following details:

Function.

This is the broad level business function and is displayed in bold capital letters at the top of each page. It is the highest level in the business classification scheme. It is followed by the scope note, which provides definitions of the function and a collective view of the business activities that make that function unique.

Activity.

Activities are the processes or operations that make up the business function. They are set in bold and italics below the function statement. This is the second level of the business classification scheme. The scope of the activity encompasses all of the transactions that take place in relation to the activity. Activities can relate to many functions with the scope notes covering all of these relationships (e.g., the activity 'Policy' is linked to all of the functions). However, each function and activity set represents a unique unit.

Entry No.

This is the disposal class number allocated based on the function and activity set and the class number of the record. The barcode is the same as the Entry No. and may be used in an automated recordkeeping system.

Description of Records.

This is the description of the records documenting the business function, activity and transactions. The descriptions can relate to one record such as a register or a group of records documenting a particular set of transactions.

Disposal Action.

This is the minimum period a record must be kept for and is the trigger event from which the disposal date can be calculated.

FORMAT OF RECORD

This Records Disposal Schedule is applicable to any record that performs the function prescribed, irrespective of format. Records may include:

- cards;
- registers;
- files;
- microfilm;
- COM (computer output microfiche);
- electronic records, including various electronic media, and
- any other formats.

Electronic records

Refers to records created, communicated and maintained by means of electronic equipment. Information could be maintained/stored in a number of ways - on the database (the main database, or a special archives database); on magnetic media; on optical disks; or on separate hardcopy (paper, COM).

Electronic records must be readily accessible for the length of the specified retention period. Routine treatment (such as wiping, updating, alterations or re-recording) does not constitute disposal.

DESTRUCTION OF RECORDS

When the approved disposal date for the destruction of records has been reached, appropriate arrangements for their destruction should be made. It is the responsibility of each agency to ensure that its records are destroyed in a secure and appropriate manner as indicated in the agency Records Management Program.

UPDATING THE RECORDS DISPOSAL SCHEDULE

Records Disposal Schedules are reviewed and updated from time to time. For suggested amendments or alterations to this schedule please contact the Director of Territory Records.

ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE

Agencies requiring any assistance in the interpretation or implementation of any Records Disposal Schedule are encouraged to contact the Director of Territory Records.

RELATED LEGISLATION

The following legislation is related to the records classes covered by this Records Disposal Schedule:

Corporations Act 2001 (Cwlth)
Criminal Code 2002
Evidence Act 2011
Freedom of Information Act 1989
Government Procurement Act 2001
Information Privacy Act 2014
Limitations Act 1985
Partnership Act 1963
Privacy Act 1988 (Cwlth)
Protection of Public Participation Act 2008
Territory-owned Corporations Act 199
Territory Records Act 2002

DEFINITIONS

Agency

The Executive, an ACT Court, the Legislative Assembly Secretariat, an administrative unit, a Board of Inquiry, a Judicial or Royal Commission, any other prescribed authority, or an entity declared under the regulations of the *Territory Records Act 2002* to be an agency.

Appraisal

The process of evaluating business activities to:

- determine which records need to be created and captured;
- determine how long the records need to be kept to meet business needs; and
- meet the requirements of organisational accountability and community expectations.

Business Classification Scheme

A hierarchical scheme for identifying and defining the functions, activities and transactions an agency performs in the conduct of its business, and the relationships between them.

Principal Officer

The Chief Executive of an administrative unit, or its equivalent in other types of agencies.

Records

Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transition of business. This recorded information must be maintained or managed by the agency to provide evidence of their business activities. Records can be in written, electronic or any other form.

Records of an Agency

Records, in writing, electronic or any other form, under the control of an 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.

Records Disposal Schedule

A document approved by the Director of Territory Records, which sets out the types of records an agency must make and how long they must be kept.

Records Management Program

A document that complies with Section 16 of the *Territory Records Act 2002* by setting out the means by which an agency will manage its records, and is approved by the agency's Principal Officer.

Recordkeeping Systems

Information systems that capture, maintain and provide access to records over time. While the term is often associated with computer software, Recordkeeping Systems also encompass policies, procedures, practices and resources that are applied within an agency to ensure that full and accurate records of business activity are made and kept.

Scope Note

An explanation of terms used in describing the records and the context in which they were made and used.

Sentencing

The process of applying appraisal decisions to individual records by determining the part of a Records Disposal Schedule that applies to the record and assigning a retention period consistent with that part.

Territory Archives

Records preserved for the benefit of present and future generations.

BUSINESS CLASSIFICATION SCHEME

HUMAN RESOURCES

The function of managing all employees and volunteers in the organisation from recruitment through to separation. Includes encouraging staff to develop their skills and abilities through events and training and development programs, managing staff performance, payroll, and the administration of workplace health and safety and workers compensation matters. Also includes managing interaction between employees and the government; and the institutions and representative associations through which such interactions are mediated to obtain determinations, agreements or awards, settlement of industrial disputes and reports of the state of industrial relations within an organisation.

[For staff attendance and/or participation at industry conferences, use GOVERNMENT & STAKEHOLDER RELATIONS – Events.

For evaluating, reviewing and reporting on the performance of the function, business area, or specific organisation programs and services, use STRATEGY & GOVERNANCE – Performance Management.

For the development of business and corporate plans which set the strategic agenda and direction for the organisation, use STRATEGY & GOVERNANCE – Planning.

For disaster and business continuity planning, taking out insurance premiums to manage risks and handling associated insurance claims, use STRATEGY & GOVERNANCE – Risk Management & Insurance.]

Acquisition

The activities associated with acquiring goods, services or works from an external source by purchase, lease, rental or exchange. Includes acquisition planning and evaluation, providing or receiving acquisition advice, liaison with vendors and service providers, purchase requests, quotations, purchase orders, bids and offers, tenders, the establishment of contracts and agreements, including service level agreements and memorandums of understanding, and arrangements for the delivery of goods and services.

Contract Management

The activities associated with managing the performance of work or the provision of services by external consultants and contractors following their initial engagement. Includes instructions to contracted personnel, progress reports, monitoring of expenditure against budgets, and performance reviews.

Customer Service

The activities associated with providing services of the organisation to meet the needs of customers by providing and delivering professional, helpful, high quality service and assistance before, during, and after the customer's requirements are met. Includes providing assistance and support, receiving and responding to complaints, enquiries, requests, feedback, suggestions, customer greetings, the preparation of customer service plans and charters and conducting customer research and surveys.

Employee Assistance

The activities associated with providing counselling, assistance and advice to staff in dealing with work related or personal issues or problems.

Employee History

Use where all activities and associated records relating to the management of an individual employee or volunteer are captured, held and managed together for business or operational reasons.

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.

Health & Safety

The activities associated with implementing and co-ordinating workplace health and safety requirements for ACT Government employees. Includes assessing individuals for specialised workstations, reporting of accidents and incidents, etc., programs and the promotion of practices contributing to employee health, safety and wellbeing, and the nomination of health and safety representatives.

Performance Management

The activities associated with the management of employees, services, programs, and organisations to ensure that goals and objectives are achieved efficiently effectively and accountably. Includes identifying, evaluating and developing tools and processes for measuring performance and providing recognition and feedback to employees, workgroups or organisations. Also includes catering for employees work needs and offering career guidance.

Planning

The activities associated with carrying out systematic planning in order to meet strategic, business or operational goals and objectives.

Note: Use the relevant activity where strategies and plans are developed to support a more specific process, (e.g. use *Maintenance* for maintenance plans, or *Risk Management & Insurance* for risk management plans and strategies).

Policies & Procedures

The activities associated with drafting, developing and implementing policies, procedures, and guidelines establishing decisions, directions, precedents and standard methods of operating which act as a reference for future decision making, and maintaining their currency over time. Includes guidelines devised by both internal and external sources of authority, rules and instructions.

Recruitment

The activities associated with searching for and selecting individuals to fill existing vacancies within the organisation. Includes advertising vacant positions, handling applications, interviews, selection, culling and appointment. Also includes recruiting volunteers.

Remuneration

The activities associated with the determination of and arrangements for the payment of salaries, wages, allowances, bonuses or other monies to employees for their services.

Separations

The activities associated with managing any method of leaving an organisation. Includes resignation, transfer to another agency, retirement, dismissal, death, redundancy, retrenchment and dispensations of services of volunteers or temporary personnel.

Standards

The activities associated with developing and/or implementing industry or organisation specific benchmarks for services and processes to enhance the quality and efficiency of an organisation, business or industry.

Training & Development

The activities associated with all aspects of managing and providing training and development to an organisation's staff or to other organisations or industry.

RECORDS DISPOSAL SCHEDULE

Acquisition (Continued)

The activities associated with acquiring goods, services or works from an external source by purchase, lease, rental or exchange. Includes acquisition planning and evaluation, providing or receiving acquisition advice, liaison with vendors and service providers, purchase requests, quotations, purchase orders, bids and offers, tenders, the establishment of contracts and agreements, including service level agreements and memorandums of understanding, and arrangements for the delivery of goods and services.

[For the ongoing management of contracts and agreements with consultants, contractors and service providers once established, use Contract Management.

For acquisition policies, procedures and guidelines, use STRATEGY & GOVERNANCE - Policies & Procedures.

For donations of property, vehicles, equipment, artefacts, money or other items donated to the organisation, use Donations.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
194.003.001 Cont.	<p>Includes;</p> <ul style="list-style-type: none"> • evaluation of existing and potential programs and services, including: <ul style="list-style-type: none"> ○ records documenting arrangements for carrying out the evaluation process ○ evaluation reports ○ recommendations ○ final reports ○ public notices • requisitions and order forms; • tender documentation and tenders, agreements that <u>do not</u> support government priorities, policies and economic reforms; • negotiations, establishment, maintenance and review of agreements; • simple contracts and agreements and contracts under seal; • post-offer negotiations and due diligence checks; • unsuccessful tenders, or a tender process where there is no suitable bidder, or where the tender process has been discontinued; • contract and tender registers. 	<p>Destroy 12 years after last action</p>

Health & Safety (Continued)

The activities associated with implementing and co-ordinating workplace health and safety requirements for ACT Government employees. Includes assessing individuals for specialised workstations, reporting of accidents and incidents, etc., programs and the promotion of practices contributing to employee health, safety and wellbeing, and the nomination of health and safety representatives.

[For health and safety policies, procedures and guidelines, use HUMAN RESOURCES - Policies & Procedures.

For managing health and safety risks including taking out insurance premiums and handling insurance claims other than workers compensation claims, use STRATEGY & GOVERNANCE – Risk Management & Insurance.

For workers compensation claims, use HUMAN RESOURCES – Workers Compensation.

For health and safety inspections and monitoring of the workplace environment, use PROPERTY EQUIPMENT & FLEET - Health & Safety.

For the repairs and maintenance arising from the management of safety related issues, use PROPERTY EQUIPMENT & FLEET – Maintenance.

For workers compensation claims and cases and the rehabilitation of injured workers, use HUMAN RESOURCES - Workers Compensation.

For health and safety training and associated training registers, use HUMAN RESOURCES - Training & Development.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
194.389.004 Cont.	<ul style="list-style-type: none"> • agency-wide occupational health & safety plans and asbestos management plans; • formal and periodic reports, including working papers; • election or selection of representatives for the workplace or on work health & safety bodies; • appointment of first aid officers, fire wardens and safety officers etc., including letters of appointment, and details of roles and responsibilities; • research carried out to support work health & safety (e.g. research on the properties of a hazardous substance); • review and monitoring of programs and operations. 	Destroy 7 years after last action

Health & Safety (Continued)

The activities associated with implementing and co-ordinating workplace health and safety requirements for ACT Government employees. Includes assessing individuals for specialised workstations, reporting of accidents and incidents, etc., programs and the promotion of practices contributing to employee health, safety and wellbeing, and the nomination of health and safety representatives.

[For health and safety policies, procedures and guidelines, use HUMAN RESOURCES - Policies & Procedures.

For managing health and safety risks including taking out insurance premiums and handling insurance claims other than workers compensation claims, use STRATEGY & GOVERNANCE – Risk Management & Insurance.

For workers compensation claims, use HUMAN RESOURCES – Workers Compensation.

For health and safety inspections and monitoring of the workplace environment, use PROPERTY EQUIPMENT & FLEET - Health & Safety.

For the repairs and maintenance arising from the management of safety related issues, use PROPERTY EQUIPMENT & FLEET – Maintenance.

For workers compensation claims and cases and the rehabilitation of injured workers, use HUMAN RESOURCES - Workers Compensation.

For health and safety training and associated training registers, use HUMAN RESOURCES - Training & Development.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
194.389.004 Cont.	<i>[For records documenting agency compliance with workplace health and safety legislation, standards and obligations or the co-ordination of agency workplace health and safety programs, use PROPERTY EQUIPMENT & FLEET – Health & Safety.]</i>	Destroy 7 years after last action

Training & Development (Continued)

The activities associated with all aspects of managing and providing training and development or education and awareness sessions to an organisation's staff or to other organisations, industry or the community.

[For the Acquisition of external training development and/or delivery services, use HUMAN RESOURCES - Acquisition.

For training policies, procedures and guidelines, use HUMAN RESOURCES - Policies, Procedures & Guidelines.

For the provision of training services to other organisations or industry, use the Training & Development under the relevant function for providing the training.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
194.277.002 Cont.	<ul style="list-style-type: none">• films and videos;• notices of examination results;• conference registration forms;• copies of published conference proceedings and official reports;• assessments of courses and conferences;• course evaluations made by staff after attending courses;• addresses and final versions of addresses delivered to conferences and training courses;• master copies of unpublished proceedings;• reports;• speeches and papers;• copies of financial records.	Destroy 7 years after last action

Workers Compensation (Continued)

The activities associated with the provision of compensation to employees following a workplace injury or accident. Includes the management of workers compensation claims and cases, and the rehabilitation of injured workers.

[For taking out workers compensation insurance policies and associated renewals, as well as handling compensation claims by non-employees, use STRATEGY & GOVERNANCE – Risk Management & Insurance.

For legal advice and the handling of legal disputes relating to workers compensation matters, use SOLICITOR AND LEGAL SERVICES – Advice.

For workers compensation, rehabilitation and/or injury management policies, procedures and guidelines, use HUMAN RESOURCES – Policies & Procedures.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
194.397.004 ■■■■■■■■■■■■■■■■■■■■	Records of internal and external committees and meetings formed or held to consider matters relating to workers compensation. Includes: <ul style="list-style-type: none">• documents establishing the committee;• draft minutes;• final versions of minutes;• reports;• recommendations;• supporting documents such as briefing papers and discussion papers;• agendas;• notices of meetings;• working papers.	Destroy 5 years after action completed

Workplace Relations (Continued)

The activities associated with establishing and managing formal relations between employers, employees and their representatives to achieve a harmonious workplace. Includes negotiations to obtain determinations, agreements or awards, handling industrial disputes, and reports on the state of employee relations within the organisation.

[For policies, procedures and guidelines relating to workplace relations matters, use HUMAN RESOURCES - Policies, Procedures & Guidelines.]

Entry No.	Description of Records	Disposal Action
194.403.003 Cont.	<ul style="list-style-type: none"> • final versions of agency-wide, section or business unit industrial relations plans (e.g. dispute contingency or action plans), including state, regional or overseas offices; • the preparation of reports relating to workplace relations; • the nomination, appointment, resignation from and/or termination of agency representatives on bodies; • research; • employee grievances and complaints, including records documenting liaison with employees, union representatives and the Territory's lead agency; • industrial action (e.g. strikes, bans, lockouts, go-slows, work-to-rule) of a minor nature (e.g. involving few staff), with no major effect on the provision of services to the community or confined to a localised area of the agency; • minor industrial relations infringements incurred by the agency; • inspections carried out, including where breaches are recorded. 	Destroy 10 years after last action or 7 years after employees separation from the ACTPS, whichever is the later

RETAIN AS TERRITORY ARCHIVES

HUMAN RESOURCES

The function of managing all employees and volunteers in the organisation from recruitment through to separation. Includes encouraging staff to develop their skills and abilities through events and training and development programs, managing staff performance, payroll, and the administration of workplace health and safety and workers compensation matters. Also includes managing interaction between employees and the government; and the institutions and representative associations through which such interactions are mediated to obtain determinations, agreements or awards, settlement of industrial disputes and reports of the state of industrial relations within an organisation.

[For staff attendance and/or participation at industry conferences, use GOVERNMENT & STAKEHOLDER RELATIONS – Events.

For evaluating, reviewing and reporting on the performance of the function, business area, or specific organisation programs and services, use STRATEGY & GOVERNANCE – Performance Management.

For the development of business and corporate plans which set the strategic agenda and direction for the organisation, use STRATEGY & GOVERNANCE – Planning.

For disaster and business continuity planning, taking out insurance premiums to manage risks and handling associated insurance claims, use STRATEGY & GOVERNANCE – Risk Management & Insurance.]

Workers Compensation

The activities associated with the provision of compensation to employees following a workplace injury or accident. Includes the management of workers compensation claims and cases, and the rehabilitation of injured workers.

[For taking out workers compensation insurance policies and associated renewals, as well as handling compensation claims by non-employees, use STRATEGY & GOVERNANCE – Risk Management & Insurance.

For legal advice and the handling of legal disputes relating to workers compensation matters, use SOLICITOR AND LEGAL SERVICES – Advice.

For workers compensation, rehabilitation and/or injury management policies, procedures and guidelines, use HUMAN RESOURCES – Policies & Procedures.]

Entry No.	Description of Records	Disposal Action
194.397.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting compensation claims by employees which result in major changes to agency policies or procedures; are high profile, controversial or subject to social or political interest; or are precedent setting. Includes: <ul style="list-style-type: none">• copies of claims;• advice on compensation matters;• expert reports;• correspondence.	Retain as Territory Archives

