



**Australian Government**  

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**National Archives of Australia**

**Records Authority**  
**Workplace Authority**  
**Agreement Processing**

Job no 2009/00803813

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## INTRODUCTION

Workplace Authority and the National Archives of Australia have developed this Records Authority to set out the requirements for keeping or destroying records for the core business areas of Agreement Processing. It represents a significant commitment on behalf of Workplace Authority to understand, create and manage the records of its activities.

This Authority is based on the identification and analysis of the business of the Workplace Authority. It takes into account the agency's legal and organisational records management requirements, and the interests of stakeholders, the agency and the National Archives of Australia.

This Authority gives Workplace Authority permission under the *Archives Act 1983*, for the destruction, retention or transfer to the National Archives of Australia of the records described. The Authority sets out those records that need to be retained as national archives and the minimum length of time that temporary records need to be kept. Retention periods for these temporary records are based on: an assessment of business needs; broader organisational accountability requirements; and community expectations, and are approved by the National Archives of Australia on the basis of information provided by the agency.

Workplace Authority may use the following tools to dispose of their records:

- this Records Authority covering its agency specific records;
- general records authorities, such as the Administrative Functions Disposal Authority (AFDA), covering business processes and records common to Australian Government agencies; and
- normal administrative practice (NAP) which allows for the destruction of records where the records are duplicated, unimportant or for short-term use only.

As changes in circumstances may affect future records management requirements, the periodic review of this Authority is recommended. All amendments must be approved by the National Archives.

Advice on using this Authority and other records management matters is available from the National Archives' website at [www.naa.gov.au](http://www.naa.gov.au) or by contacting the Agency Service Centre at [recordkeeping@naa.gov.au](mailto:recordkeeping@naa.gov.au) or (02) 6212 3610.

## APPLICATION OF THIS AUTHORITY

1. Workplace Authority ceased to exist from the 31<sup>st</sup> of January 2010. Fair Work Australia may use this authority for records created as a result of core business transferred from Workplace Authority.
2. This authority replaces Records Authority 1333 (1997). This superseded Authority may no longer be used to sentence records after the date of issue of this Authority.
3. This Authority should be used in conjunction with the Administrative Functions Disposal Authority (AFDA) issued by the National Archives to cover administrative records common to Australian Government agencies.
4. This Authority should be used in conjunction with general disposal authorities issued by the National Archives that cover other types of records that may be created by the Workplace Authority, such as encrypted records and source records that have been copied.
5. This Authority is to be used to sentence records. Sentencing involves the examination of records in

order to identify the individual disposal class to which they belong. This process enables sentencers to determine how long records need to be kept. Advice on sentencing is available from the National Archives.

6. Where the method of recording information changes (for example from a manual system to an electronic system, or when information is migrated from one system to a new system) this Authority can still be used to sentence the records created, providing the records document the same core business. The information must be accessible for the period of time prescribed in this Authority. The Workplace Authority will need to ensure that any software, hardware or documentation required to enable continuing access to the information is available for the periods prescribed.

7. In general, retention requirements indicate a minimum period for retention. The Workplace Authority may extend minimum retention periods if it considers that there is an administrative need to do so, without further reference to the National Archives. Where the Workplace Authority believes that its accountability will be substantially compromised because a retention period or periods are not adequate, it should contact the National Archives for review of the retention period.

8. The Workplace Authority may destroy certain records without formal authorisation as a normal administrative practice. This usually occurs where the records are duplicated, facilitative or for short-term use only. NAP does not replace the arrangements agreed to in records authorities. Advice and guidance on destroying records as a normal administrative practice is available from the National Archives' website at [www.naa.gov.au](http://www.naa.gov.au).

9. From time to time the National Archives will place a freeze on some groups of records to prevent their destruction. Further information about disposal freezes and whether they affect the application of this Authority is available from the National Archives website at [www.naa.gov.au](http://www.naa.gov.au).

10. Records in the care of the Workplace Authority should be appropriately stored and preserved. The Workplace Authority needs to meet this obligation to ensure that the records remain authentic and accessible over time. Under section 31 of the Archives Act 1983, access arrangements are required for records that are in the open access period (currently after 30 years).

11. Appropriate arrangements should be made with the National Archives when records are to be transferred into custody. The National Archives accepts for transfer only those records designated as national archives.

12. Advice on how to use this Authority is available from the Workplace Authority records manager. If there are problems with the application of the Authority that cannot be resolved, please contact the National Archives.

## CONTACT INFORMATION

For assistance with this authority or for advice on other recordkeeping matters, please contact National Archives' Agency Service Centre.

Queen Victoria Terrace  
Parkes ACT 2600  
PO Box 7425  
Canberra Mail Centre ACT 2610

Tel: (02) 6212 3610  
Fax: (02) 6212 3989  
Email: [recordkeeping@naa.gov.au](mailto:recordkeeping@naa.gov.au)  
Website: [www.naa.gov.au](http://www.naa.gov.au)

# AUTHORISATION

## RECORDS AUTHORITY

**Person to whom notice of authorisation is given:**

Ms Joanne Major  
Acting Director  
Workplace Authority  
GPO Box 9880, Canberra City, 2601

**Purpose:**

AUTHORISES ARRANGEMENTS FOR THE DISPOSAL OF RECORDS IN ACCORDANCE WITH SECTION 24(2)(b) OF THE ARCHIVES ACT 1983

**Application:**

Agreement Processing

This authorisation gives permission for the destruction, retention or transfer to the National Archives of Australia of the records described. The authority will apply only if these actions take place with the consent of the agency responsible for the core business documented in the records.

**Authorising Officer**

**Date of issue:**



27/1/10

Margaret Chalker  
Assistant Director-General, Government Information Management  
National Archives of Australia

## AGREEMENT PROCESSING

The core business of managing the lodgement, assessment, variation and termination of workplace agreements. Includes:

- receipt of applications, agreements, declarations and supporting documentation;
- assessments of agreements to ensure compliance with legislative requirements;
- handling of complaints and enquiries and the provision of advice in relation to lodged applications;
- development of policy and procedures on agreement making and assessment processes;
- handling of agreement assessment reconsideration requests and referrals.
- provision of advice and information to clients in association with their lodgement application.

Also includes the handling of other legal matters relating to a potential or current workplace agreement such as pre-lodgement and post lodgement prohibited content reviews, authorisation of multiple business agreements, the issuing of bargaining agent certificates and transmission of business receipts.

Entry	Description of records	Disposal action
21137	<p>Case files documenting the processing of approved 'collective agreements' (as defined in relevant legislation) for public or private sector organisations.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>• records relating to the lodgement, variation and termination of workplace agreements.</li> <li>• records relating to the assessment of agreements, such as reference instruments, letters requesting further information, reconsideration requests and notifications, referral letters and assessment outcome advice.</li> <li>• litigation records including subpoenas, discovery orders and legal advice.</li> </ul>	Retain as national archives
21138	<p>Records documenting the processing of approved individual workplace agreements (ie Australian Workplace Agreements and Individual Transitional Employment Agreements as defined in relevant legislation).</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>• records relating to the lodgement, variation and termination of workplace agreements, such as supporting documentation, signed agreements, declaration forms, acknowledgement letters and receipts, and termination notices.</li> <li>• records relating to the assessment of agreements, such as reference instruments, letters requesting further information, reconsideration requests and notifications, referral letters and assessment outcome advice.</li> <li>• enquiries and complaints from clients in relation to the processing of their agreements and records documenting advice and information provided in response to enquiries and complaints.</li> <li>• litigation records including subpoenas, discovery orders and legal advice.</li> </ul>	Destroy 20 years after termination of agreement, or where an agreement is not terminated, 20 years after the nominal expiry date

## AGREEMENT PROCESSING continued

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
21140	Records documenting: <ul style="list-style-type: none"><li>• pre-lodgement and post-lodgement prohibited content reviews</li><li>• authorisation of multiple business agreements</li><li>• issuing of bargaining agent certificates, and</li><li>• issuing of transmission of business receipts.</li></ul>	Destroy 20 years after last action
21139	Records documenting the processing of workplace agreements that are subsequently not approved. Includes: <ul style="list-style-type: none"><li>• records relating to the lodgement and variation of workplace agreements, such as signed agreements, declaration forms, and acknowledgement letters and receipts.</li><li>• records relating to the assessment of agreements, such as reference instruments, letters requesting further information, reconsideration requests and notifications, referral letters and assessment outcome advice.</li><li>• litigation records including subpoenas, discovery orders and legal advice.</li></ul>	Destroy 10 years after last action
21141	Final versions of policies and procedures relating to the Agreements Processing core business, such as agreement making and assessment guidelines, statutory distribution policies etc.	Destroy 10 years after last action
21142	Records documenting routine development work and reporting in relation to the Agreements Processing core business. Includes: <ul style="list-style-type: none"><li>• customer service quality assurance statistical reports.</li><li>• drafts, background research, stakeholder review comments, etc. supporting the development of final policies and procedures.</li></ul>	Destroy 6 months after last action

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