

## STRATEGIC MANAGEMENT

The function of applying broad systematic management planning for the organisation. Includes the activities involved with the development, monitoring and reviewing of business plans, strategic plans, corporate plans, and other long-term organisational strategies. Also includes the development of the corporate mission, objectives, continuous improvement processes, quality assurance and certification, and the formulation and amendment of legislation which provides the legislative basis for the organisation.

### 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   | Disposal action                        |
|---------------------|--|--|
| 21004<br>■■■■■■■■■■ | Records documenting the receipt and provision of advice relating to the strategic management function. | Destroy 5 years after action completed |

*[For the receipt or provision of advice to the portfolio Minister or government agencies, use GOVERNMENT RELATIONS - Advice.]*

### Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements.

| Class No           | Description of records  | Disposal action  |
|--------------------|---|--|
| 2022<br>■■■■■■■■■■ | Final version of agreements made to support the agency's strategic management function. Includes service level agreements made between various units of the agency. | Destroy 5 years after agreement expires or is superseded |
| 2023<br>■■■■■■■■■■ | Records documenting negotiations, establishment, maintenance and review of agreements.  | Destroy 5 years after agreement expires or is superseded |

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

| Class No         | Description of records   | Disposal action                         |
|------------------|--|---|
| 2024<br>■■■■■■■■ | Final internal and external audit reports relating to the strategic management function.   | Destroy 10 years after action completed |
| 2025<br>■■■■■■■■ | Records documenting the planning and conduct of internal and external audits relating to the strategic management function. Includes: <ul style="list-style-type: none"> <li>• liaison with the auditing body;</li> <li>• minutes of meetings;</li> <li>• notes taken at opening and exit interviews;</li> <li>• draft report; and</li> <li>• comments.</li> </ul> | Destroy 5 years after action completed  |

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### Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

| Class No           | Description of records   | Disposal action                         |
|--------------------|--|---|
| 2026<br>■■■■■■■■■■ | Records documenting high-level corporate committees with overall responsibility for making major decisions in the area of agency policy and agency corporate planning (eg executive management boards). Includes: <ul style="list-style-type: none"> <li>• documents establishing the committee;</li> <li>• final versions of minutes;</li> <li>• reports;</li> <li>• recommendations; and</li> <li>• supporting documents such as briefing papers and discussion papers.</li> </ul> | Retain as national archives             |
| 2027<br>■■■■■■■■■■ | Records of internal committees formed to consider specific matters relating to the strategic management function (eg audit committee, steering committees and ad hoc committees). Includes: <ul style="list-style-type: none"> <li>• documents establishing the committee;</li> <li>• final versions of minutes;</li> <li>• reports;</li> <li>• recommendations; and</li> <li>• supporting documents such as briefing and discussion papers.</li> </ul>                              | Destroy 10 years after action completed |

*[Other committees that have a strategic management perspective should be linked to more specific functions (eg use PERSONNEL - Committees for personnel committees, and TECHNOLOGY & TELECOMMUNICATIONS - Committees for information technology steering committees).]*

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### Committees - Continued

| Class No         | Description of records  | Disposal action                        |
|------------------|---|--|
| 2028<br>■■■■■■■■ | Records documenting external or inter-agency committees formed to consider strategic management issues where the agency is a member. Includes: <ul style="list-style-type: none"> <li>• documents establishing the committee;</li> <li>• appointment of members;</li> <li>• minutes; and</li> <li>• supporting documents such as briefing and discussion papers.</li> </ul> | Destroy 5 years after action completed |
| 2029<br>■■■■■■■■ | Working papers documenting the conduct and administration of all committees which consider matters relating to the strategic management function. Includes: <ul style="list-style-type: none"> <li>• agenda;</li> <li>• notices of minutes; and</li> <li>• draft minutes.</li> </ul>  | Destroy when reference ceases          |

### Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

*Other activities within this function may also be relevant to the Compliance activity.*

| Class No         | Description of records  | Disposal action                        |
|------------------|---|--|
| 2030<br>■■■■■■■■ | Records documenting agency compliance with broad legislative and regulatory requirements. | Destroy 7 years after action completed |

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### 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. Includes outsourcing.

*For information on records issues relating to outsourcing and contracting-out see General Disposal Authority 25.*

| Class No | Description of Records   | Disposal Action |
|----------|--|-----------------|
| N/A      | <i>[For records documenting contract management relating to the strategic management function, use PROCUREMENT – Contracting-out.]</i> | N/A             |

### Customer Service

The activities associated with the planning, monitoring and evaluation of services provided to customers by the organisation.

*For specific plans supporting customer service strategies, use STRATEGIC MANAGEMENT - Planning.*

*For an agency's customer service policy, use STRATEGIC MANAGEMENT - Policy.*

| Class No         | Description of records  | Disposal action                                     |
|------------------|---|---|
| 2032<br>■■■■■■■■ | Records documenting the development of agency-wide strategies to deliver quality customer services. | Destroy 5 years after strategies are superseded     |
| 2033<br>■■■■■■■■ | Records documenting development of an agency-wide service charter.                                  | Destroy 5 years after Service Charter is superseded |

*[For the development of specific service charters, use the activity Customer Service under COMMUNITY RELATIONS and INFORMATION MANAGEMENT.*

*For the development and production of the publication of the service charter, use PUBLICATION - Planning and PUBLICATION - Production.]*

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### Evaluation

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes systems analysis and ongoing monitoring.

| Class No           | Description of records   | Disposal action                        |
|--------------------|--|--|
| 2034<br>■■■■■■■■■■ | Records documenting the evaluation of an agency's strategic programs and services. | Destroy 5 years after action completed |

*[For the evaluation of goods and services being considered for procurement in support of the strategic management function, use PROCUREMENT – Evaluation.*

*For the evaluation of performance management programs, use STRATEGIC MANAGEMENT – Performance Management.]*

### Fraud

The processes which allow the disclosure of fraud, and strategies for the prevention of fraud. Includes involvement in fraud prevention projects and the education of staff about fraud disclosures.

*This function/activity set should not be used by agencies who undertake fraud surveillance and associated action to support a core function. In such cases specific coverage should be included in the agency's own Records Authority.*

*For agency fraud control plan supporting Government policy, use STRATEGIC MANAGEMENT - Planning.*

*For financial management arrangements supporting the agency's fraud control plan, use FINANCIAL MANAGEMENT - Fraud.*

*For investigations into fraud allegations made against an employee, use PERSONNEL - Discipline.*

| Class No           | Description of records  | Disposal action                                 |
|--------------------|---|---|
| 2035<br>■■■■■■■■■■ | Records documenting the management of broad strategies to prevent fraud within the agency.            | Destroy 7 years after strategies are superseded |
| 2036<br>■■■■■■■■■■ | Records documenting the disclosure and investigation of fraud allegations made by or about an agency. | Destroy 7 years after action completed          |

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### Grant Funding

The activities associated with the application for and receipt of grants.

| Class No         | Description of records   | Disposal action                                 |
|------------------|--|---|
| 2037<br>■■■■■■■■ | Records documenting the development of strategies for managing processes associated with the agency applying for grants. | Destroy 7 years after strategies are superseded |

*[For specific plans supporting strategies for the receipt of grant funding, use STRATEGIC MANAGEMENT - Planning.*

*For an agency's grant funding policy, use STRATEGIC MANAGEMENT - Policy.*

*For the application and management of grant funding from a public source, use COMMUNITY RELATIONS - Grant Funding.*

*For the administration of grant funds received by an agency, use FINANCIAL MANAGEMENT - Grant Funding.]*

### Implementation

The activities associated with carrying out or putting into action, plans, policies, procedures or instructions, all of which could be internally or externally driven. Includes manual or automated databases, applications or systems, but excludes the installation of equipment. Also includes monitoring to ensure that the implementation goes according to schedule and that standards are met and includes first aid treatment.

| Class No         | Description of records   | Disposal action                        |
|------------------|--|--|
| 2038<br>■■■■■■■■ | Records documenting the implementation of plans, policies, strategies, procedures and instructions formulated to support the strategic management function. Includes monitoring the implementation activities. | Destroy 3 years after action completed |

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### Legislation

The process of making laws. Includes Local, State, Commonwealth and overseas Acts, Bills and subsections of Acts, and amendments to each.

| Class No           | Description of records  | Disposal action             |
|--------------------|---|-----------------------------|
| 2039<br>■■■■■■■■■■ | Records documenting the development of proposals for new legislation and amendments to existing legislation administered by the agency. Includes submissions prepared for the agency's executive or corporate management board. | Retain as national archives |

*[For submissions to the portfolio Minister and to Cabinet relating to legislative proposals, use GOVERNMENT RELATIONS - Submissions.*

*For records supporting the preparation and passage of agency legislation through Parliament, use GOVERNMENT RELATIONS - Legislation.*

*For advice provided to Cabinet, the portfolio Minister and other government agencies on the proposed legislation for the agency and for comments made on other agencies' proposed legislation, use GOVERNMENT RELATIONS - Advice.*

*For legal advice received on the interpretation of legislation, use LEGAL SERVICES - Advice.]*



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### Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

| Class No         | Description of records   | Disposal action                        |
|------------------|--|--|
| 2040<br>■■■■■■■■ | Final version of minutes and supporting documents tabled at meetings held to support the strategic management function. Includes meetings with external agencies and internal management conferences held to discuss strategic issues. | Destroy 7 years after action completed |
|                  | <i>[For records of meetings of governing bodies, use GOVERNING BODIES.</i>   |  |
|                  | <i>[For records of meetings of advisory bodies, use ADVISORY BODIES.]</i>  |  |
| 2041<br>■■■■■■■■ | Copies of minutes and supporting documents tabled at meetings held to support the strategic management function convened by another agency or organisation.  | Destroy 5 years after action completed |
| 2042<br>■■■■■■■■ | Working papers documenting the conduct and administration of all meetings to support the strategic management function. Includes agenda, notices of meetings and draft minutes.  | Destroy 1 year after action completed  |

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### Performance Management

The process of identifying, evaluating, and developing corporate and employee work performance so that the organisation's goals and objectives are achieved and also benefiting employees through recognition, performance feedback, catering for work needs and offering career guidance.

| Class No            | Description of records  | Disposal action                        |
|---------------------|---|--|
| 21005<br>■■■■■■■■■■ | <p>Records documenting the setting of performance expectations for the agency. Includes:</p> <ul style="list-style-type: none"> <li>• statement of expectations;</li> <li>• statement of intent;</li> <li>• final versions of formal performance agreements (where appropriate); and</li> <li>• documentation of negotiations involved in setting performance expectations, including notes from meetings.</li> </ul> <p><i>[For the establishment of performance management agreements for governing bodies or members of governing bodies, use GOVERNING BODIES.]</i></p> <p><i>For individual employee performance agreements, use PERSONNEL – Performance Management.]</i></p>  | Retain as national archives            |
| 21006<br>■■■■■■■■■■ | <p>Records documenting the corporate performance management evaluation and assessment process. Covers internally and externally conducted performance assessment processes. Includes:</p> <ul style="list-style-type: none"> <li>• determination and evaluation of performance indicators;</li> <li>• assessment, evaluation and monitoring of activities as part of the performance improvement cycle of the agency against broader Commonwealth goals; and</li> <li>• preparation of performance reports.</li> </ul> <p><i>[For formal reporting of the outcomes of corporate performance management processes, use STRATEGIC MANAGEMENT – Reporting.]</i></p> <p><i>For identifying, evaluating and developing performance programs for agency staff, use PERSONNEL – Performance Management.]</i></p> | Destroy 5 years after action completed |

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### 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   | Disposal action                          |
|------------------|--|--|
| 2044<br>■■■■■■■■ | Final version of agency-wide strategic or corporate plans.   | Retain as national archives              |
| 2045<br>■■■■■■■■ | Final versions of national business plans and unit level work plans.   | Destroy 5 years after plan is superseded |
| 2046<br>■■■■■■■■ | Final versions of other plans formulated to support the management of specific strategic management activities (eg fraud control plan and human resource management plan). | Destroy 7 years after plan is superseded |
| 2047<br>■■■■■■■■ | Working papers documenting the development of all strategic management plans. Includes input into plans, comments received and drafts.                                     | Destroy 3 years after action completed   |
| 2048<br>■■■■■■■■ | Copies of all strategic management plans.  | Destroy when reference ceases            |

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### 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  | Disposal action                                      |
|--|---|--|
| 2049<br>■■■■■■■■■■   | Records documenting the development and establishment of the agency's strategic management policies. Includes: <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; and</li> <li>• national policy statements.</li> </ul> | Retain as national archives                          |
| <i>[For the development of the Chief Executive instructions, use FINANCIAL MANAGEMENT - Policy.]</i> |   |  |
| 2050<br>■■■■■■■■■■   | Records documenting comments made on the development of government-wide strategic management policies.  | Destroy 3 years after promulgation of the new policy |
| 2051<br>■■■■■■■■■■   | Working papers documenting the development of all strategic management policies.  | Destroy 3 years after promulgation of the new policy |
| 2052<br>■■■■■■■■■■   | Copies of policy documents and supporting papers.   | Destroy when reference ceases                        |

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### Procedures

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

| <b>Class No</b>  | <b>Description of records</b>  | <b>Disposal action</b>                        |
|------------------|--|---|
| 2053<br>■■■■■■■■ | Master set of agency manuals, handbooks, directives etc detailing procedures supporting the strategic management function. | Destroy when procedures are superseded        |
| 2054<br>■■■■■■■■ | Records documenting the development of agency procedures supporting the strategic management function.                     | Destroy 1 year after production of procedures |
| 2055<br>■■■■■■■■ | Copies of manuals, handbooks, directives etc.  | Destroy when reference ceases                 |

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### 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 to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

| Class No           | Description of records   | Disposal action                        |
|--------------------|--|--|
| 2056<br>■■■■■■■■■■ | Final versions of formal internal reports and reports made to external agencies relating to the strategic management function.   | Retain as national archives            |
|                    | <i>[For the Annual Report drafting process, use PUBLICATION - Drafting.</i>  |  |
|                    | <i>For the design, printing and retention of the final copy of an agency's Annual Report, use PUBLICATION - Production.</i>  |  |
|                    | <i>For the submission of the agency's Annual Report to the portfolio Minister, use GOVERNMENT RELATIONS - Compliance.]</i>   |  |
| 2057<br>■■■■■■■■■■ | Final versions of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the strategic management function. Includes work progress reports against business and work plans and unit level performance reporting. | Destroy 7 years after action completed |
| 2058<br>■■■■■■■■■■ | Working papers documenting the development of all reports. Includes drafts and comments received.  | Destroy 2 years after action completed |
| 2059<br>■■■■■■■■■■ | Copies of strategic management reports.  | Destroy when reference ceases          |
| 2060<br>■■■■■■■■■■ | Responses to surveys by other agencies or by the central office of an agency.  | Destroy 3 years after action completed |

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### 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 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   | Disposal action                        |
|------------------|--|--|
| 2061<br>■■■■■■■■ | Records documenting major research carried out to support the strategic management function. | Destroy 5 years after action completed |
| 2062<br>■■■■■■■■ | Records documenting minor research carried out to support the strategic management function. | Destroy when reference ceases          |

### Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

*For reviews of an agency structure to meet organisational goals, use ESTABLISHMENT - Restructuring.*

| Class No         | Description of records   | Disposal action                         |
|------------------|--|---|
| 2063<br>■■■■■■■■ | Records documenting a review of agency programs and operations supporting the strategic management function. Includes documents establishing the review, final report and action plan. | Destroy 10 years after action completed |
| 2064<br>■■■■■■■■ | Working papers documenting a review of agency programs and operations supporting the strategic management function.  | Destroy 3 years after action completed  |

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### Risk Management

The process involving identification of risks, likelihood and consequences of those risks and implementation of appropriate practice and procedures to treat the risks.

| Class No         | Description of records   | Disposal action                            |
|------------------|--|--|
| 2065<br>■■■■■■■■ | Records documenting risk management including each stage of the process, risk assessments, treatment schedules and action plans. | Destroy 7 years after next risk assessment |
| 2066<br>■■■■■■■■ | Strategic management risk register.  | Destroy 7 years after next risk assessment |

### Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the organisation.

*For compliance with standards (except where other activities apply), use STRATEGIC MANAGEMENT - Compliance.*

| Class No         | Description of records  | Disposal action                        |
|------------------|---|--|
| 2067<br>■■■■■■■■ | Records documenting the implementation of industry and agency standards to support the strategic management function. | Destroy 7 years after action completed |

### Tendering

The activities involved in receiving and assessing tenders, of making offers and finalising contract arrangements for the supply, sale or purchase of goods and services.

| Class No | Description of Records  | Disposal Action |
|----------|---|-----------------|
| N/A      | <i>[For the acquisition of goods and services required to support the strategic management function via a tender process, use PROCUREMENT - Tendering.]</i> | N/A             |