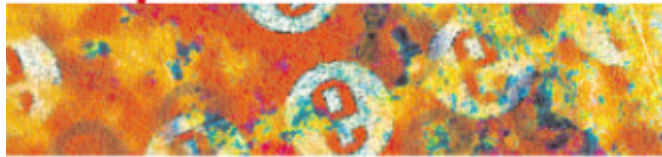




e^opermanence



DIRKS – A Strategic Approach
to Managing Business Information

APPENDIX 5 – ORGANISATION CONTEXT DOCUMENT

September 2001

ISBN 0 642 34449 3

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APPENDIX 5 ORGANISATION CONTEXT DOCUMENT

Use this form to consolidate information about the organisation gathered during Step A – Preliminary investigation.

The source number against each question is a cross-reference to question 22, the register of sources.

Background

1. Who is responsible for managing this project in your organisation?

Show details of the senior officer in charge of the project.

Name	Position	Phone number

Identifying the organisation and its administrative context

2. What is the name of the organisation?

Include all names that the organisation is known by, including acronyms, registered business names, and names of business units (eg shopfronts).

Name	Source number

3. What type of organisation is it?

For example, department, statutory body, non-statutory body, corporation, university, etc. If your organisation is registered show relevant details.

Type	Australian Company Number (ACN) or other registration number (if appropriate)	Source number

4. What are the defining characteristics of the organisation?

Comment on reporting arrangements (eg to parent department, directly to portfolio minister), unique characteristics (eg the organisation's autonomy, budgetary status, etc), and indicate whether the organisation is the 'lead agency' responsible for administering legislation which affects most government organisations.

Characteristics	Source number

5. What is the history of the organisation?

Provide a chronological overview of the establishment of the organisation and major changes and events, including major losses or gains in functions and/or restructuring. Also name earlier organisations and indicate the date range of their existence.

Date	Comments	Source number

6. What is the structure of the organisation? Where are the various units located if there is more than one, and what is the business activity carried out by each?

All units of the organisation need to be clearly identified so that the full range of work carried out by the organisation is taken into account. If there are numerous units they should be grouped into types of units that carry out the same types of work (eg overseas posts may be grouped together). Alternatively, attach a detailed current organisational chart.

Office-holder responsible for the organisation, eg secretary, director-general		
List units and their location	Business activity	Source number

7. Does the organisation have any administrative links to other organisations?

For example, your agency may have strong links with statutory authorities, councils, boards of management, committees etc that are defined as separate organisations. See A.5.2. Note the name of the organisation and the relationship to your organisation.

Name of organisation	Relationship	Source number

Identifying the legal and regulatory framework

8. What is the official basis of the organisation and why was it established?

Identify and document the establishment of the organisation and the purpose for which it was established. Indicate if there have been any major changes to the establishing legislation.

Establishment of the organisation	Source number

9. What legislation is administered by the organisation?

List legislation administered by the organisation. This may include legislation referred to in earlier questions, and repealed legislation that was administered by the organisation in the past. Agencies (particularly portfolio departments) with a long list of legislation should distinguish between those they substantively administer and those for which they have an oversight or other minor role.

Source name (short title)	Source number

10. What legislation affects the role or the operation of the organisation?

Indicate what legislation affects the operations of the organisation, excluding the enabling legislation in the previous question and common administrative legislation that underpins the Administrative Functions Disposal Authority. For example, laws on the use and handling of chemicals may affect scientific research organisations.

Source name (short title)	Business activity	Source number

11. Has the organisation contracted out any aspects of its business activity to government or non-government organisations?

For example, some government agencies contract-out service provision to Centrelink. Note specific legislative provisions and/or contractual arrangements that govern these relationships. This information is available from annual reports.

Contracting-out details	Source number

12. Are there standards that have been imposed on or adopted by the organisation?

List mandatory and voluntary standards (or parts thereof) including best practice, technical, or industry standards, to which the organisation adheres, such as ISO or Australian standards. Indicate, where applicable, the regulatory body that is responsible for monitoring compliance. Also list standards that are administered by the organisation, for example the National Archives of Australia administers the AGLS metadata standard.

Name of standard and other details	Mandatory, voluntary or administered	Source number

Identifying the business context

13. What does the organisation do?

List the general areas of business or the industry sector for which the organisation is responsible (eg health, education, employment, scientific research) and major outputs, services and products provided by the organisation.

Business activity	Outputs, products or services	Source number

14. Are any of the business areas of your organisation's operations subject to a high level of litigation?

Include litigation where the organisation is either the defendant or complainant. Comment on the nature, frequency, trends, risks and consequences of litigation. Show different areas of business activity separately. Information on litigation is usually available in annual reports.

Litigation details	Business activity	Source number

15. Who are the organisation's major stakeholders?

For ease of reference, list the stakeholders identified during the course of the preliminary investigation and specify the nature of their interests. Stakeholders include groups that express an opinion on the organisation's products or services, community groups, clients and customers, as well as the Minister, parent department, formal advisory groups etc.

Stakeholder	Interest of stakeholder in the organisation	Source number

Identifying the corporate culture

16. What is the current strategic focus of the organisation?

Look at the organisation's strategic planning documents and recent executive statements. These will identify the organisation's direction, changes in activities that are currently carried out, or new activities.

Strategic focus	Source number

17. Has the organisation or any facet of its business been the subject of any recent internal or external audits?

List any recent audits, indicating the business area involved. Note any adverse findings including any comments on recordkeeping or information management. Basic information on audits is available in annual reports.

Date	Audit	Business area	Findings	Source number

18. Does your organisation have a formal compliance program or strategies and/or procedures in place to ensure compliance to laws, standards, etc?

Indicate any measures in place to ensure that relevant laws, regulations, codes and standards are not breached.

Details of compliance programs, strategies or procedures	Source number

19. Does your organisation have a formal risk management program in place?

Comment on the risks associated with the organisation's business activity and the strategies and/or procedures in place to deal with such risks. A recent government initiative requires all agencies to prepare risk management plans.

Risk levels and risk management strategies in place	Business activity	Source number

20. How is recordkeeping managed in the organisation?

Comment on whether recordkeeping is centralised, decentralised or mixed, levels of staff awareness, the management of paper and electronic records and whether there are comprehensive, known policies and procedures. If there is a current disposal program, indicate what disposal authorities are used.

Recordkeeping in the organisation	Source number

21. How is technology used in business systems and information management systems, including recordkeeping and/or records management systems?

Comment on the technological capabilities of the organisation, referring to indicators such as use of technology in business systems, work stations and work practices, resources allocated to technology, and staff competence and training.

Technology and its use in the organisation	Source number

22. What sources have been used to undertake the preliminary investigation?

Compile a register of all documentary and oral sources used during the preliminary investigation. Number each source to keep track of the sources in later steps. See Appendix 1 – Guide to documentary sources, for advice on identifying and citing sources.