



**Australian Government**

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**National Archives of Australia**

**AFDA Express Version 2**

2019/00214096

# **Strategic Management**

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2019



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## INTRODUCTION

The National Archives of Australia (National Archives) has developed this records authority to set out the requirements for keeping or destroying records for the general administrative function of Strategic Management.

This records authority is based on the identification and analysis of the Strategic Management function. The records authority sets out those records that need to be retained as national archives and specifies the minimum length of time that temporary records need to be kept. This records authority gives agencies permission under the *Archives Act 1983*, for the destruction of the temporary records described after the minimum retention period has expired. Retention periods for these temporary records are based on: an assessment of business needs; broader organisational accountability requirements; and community expectations.

As changes in circumstances may affect future records management requirements, this authority may occasionally be amended by the addition of new classes and the variation of existing classes. The National Archives will notify agencies of any such changes.

## APPLICATION OF THIS AUTHORITY

1. The National Archives is progressively reviewing and retiring the *Administrative Functions Disposal Authority (2010)* and *AFDA Express (March 2010)* and will periodically issue revised functions that will ultimately comprise the revised version of *AFDA Express Version 2*. To aid agencies with implementation of the revised *AFDA Express Version 2* functions, the Archives will generally permit agencies the option of using either the existing AFDA functions or the newly issued revised functions until 1 July 2019 (by which time all revised functions are expected to be have been issued).
2. This authority supersedes:
  - classes 2022-2030, 2032-2042, 2044-2067 and 21004-21006 in the STRATEGIC MANAGEMENT function of the *Administrative Functions Disposal Authority (2010)*; and
  - classes 20340-20342 in the STRATEGIC MANAGEMENT function of *AFDA Express (March 2010)*.

The superseded records classes cannot be used to sentence records after 1 July 2019.

3. This authority should be used in conjunction with record authorities issued to agencies for their core business and other General Records Authorities issued by the National Archives.
4. This records authority is to be used to determine how long records must be kept. Records are matched to the relevant core business and records class in the records authority:
  - Where the minimum retention period has expired and the records are not needed for agency business they should be destroyed as authorised in this records authority.
  - Records that have not reached the minimum retention period must be kept until they do.
  - Records that are identified as Retain as National Archives (RNA) are to be transferred to the National Archives for preservation.
5. The Normal Administrative Practice (NAP) provision of the *Archives Act 1983* gives agencies permission to destroy certain records without formal authorisation. This usually occurs where records are duplicated, facilitative or for short-term use only. NAP does not replace arrangements agreed to in this records authority but can be used as a tool to assist in identifying records for destruction together with this records authority and with records authorities specifically issued to an agency. The National Archives recommends that agencies develop and implement a Normal Administrative Practice policy. Advice and guidance on destroying records as a normal administrative practice and on how to develop an agency NAP policy is available from the National Archives' website at [www.naa.gov.au](http://www.naa.gov.au).
6. Records that are reasonably likely to be needed as evidence in a current or future judicial proceeding or are subject to a request for access under the *Archives Act 1983*, the *Freedom of*

*Information Act 1982* or any other relevant act must not be destroyed until the action has been completed.

7. Records subject to a disposal freeze must not be destroyed until the freeze has been lifted. Further information about disposal freezes and whether they affect the application of this records authority is available from the National Archives website at [www.naa.gov.au](http://www.naa.gov.au).
8. Where the method of recording information changes (for example from a manual system to a digital system, or when information is migrated from one system to a new system) this records authority can still be applied, providing the records document the same core business. The information must be accessible for the period of time prescribed in this records authority. There is a need to maintain continuing access to the information, including digital information, for the periods prescribed in this records authority or until the information is transferred into the custody of the National Archives.
9. In general retention requirements indicate a minimum period for retention. Agencies may extend minimum retention periods if there is an administrative need to do so, without further reference to the National Archives. Where an agency believes that its accountability will be substantially compromised because a retention period is not adequate, please contact the National Archives for review of the retention period.
10. Records coming within 'retain as national archives' classes in this authority have been determined to be part of the archival resources of the Commonwealth under section 3C of the *Archives Act 1983*. The determination of Commonwealth records as archival resources of the Commonwealth obliges agencies to transfer the records to the National Archives when they cease to be current and, in any event, within 15 years of the records coming into existence, under section 27 of the *Archives Act 1983*.
11. Records in the care of agencies should be appropriately stored, managed and preserved. Agencies need 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 become available for public access including those records that remain in agency custody.
12. Appropriate arrangements must 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, and in line with an approved transfer schedule.
13. Advice on how to use this authority is available from your agency's 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 records management matters, please contact National Archives' [Agency Service Centre](#).

## AUTHORISATION

RECORDS AUTHORITY 2019/00214096

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

Heads of Commonwealth institutions under the *Archives Act 1983*.

**Purpose:**

Authorises arrangements for the disposal of records in accordance with paragraph 24(2)(b) of the *Archives Act 1983*.

Determines records classed as 'retain as national archives' in this Records Authority to be part of the archival resources of the Commonwealth under section 3C of the *Archives Act 1983*.

**Application:**

All records relating to the following general administrative business area: Strategic Management.

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

**Authorised by**

Linda Macfarlane  
Assistant Director-General (Acting)  
National Archives of Australia

**Date of issue:**

6 June 2019

## STRATEGIC MANAGEMENT

The function of applying broad systematic management planning for the organisation aimed at aligning policies, plans and strategic priorities across the agency to achieve goals and objectives. Includes the activities involved with the development, monitoring, 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. Also includes strategic planning, negotiations and agreements developed to support privatisation or outsourcing of government functions or the transfer of government functions to another jurisdiction.

The **core activities** include:

- developing, implementing and reviewing strategic management policies, procedures and instructions;
- developing, implementing and reviewing strategic management plans, including strategic and corporate plans, national and business-unit level work plans and plans supporting specific ongoing administrative and operational activities (eg fraud control plans, business continuity plans, risk management plans);
- providing and receiving advice;
- developing, implementing and reviewing agency-wide strategies and frameworks for managing processes associated with the delivery of customer services, prevention of fraud and applying for grants;
- implementing industry and agency standards and benchmarks for services and processes to enhance service quality and organisational efficiency;
- identifying and investigating fraud allegations made by or about an agency;
- establishing, managing and participating in committees, meetings, working groups and other bodies, including executive management committees;
- planning, conducting and facilitating audits;
- developing proposals for new legislation and amendments to existing legislation;
- monitoring, evaluating, reviewing and reporting on an agency's strategic performance, programs and services;
- negotiating, establishing, managing and reviewing agreements and contracts supporting the strategic management function, including agreements relating to the privatisation or outsourcing of an agency core business function, or the transfer of a core business function to or from another jurisdiction;
- undertaking research and analysis;
- fulfilling compliance requirements, including fiscal, legal, regulatory and quality standards and requirements;
- delegating powers and authorising actions; and
- identifying, assessing and managing risks across the agency.

### Cross references to the AFDA Express records authority

*For managing financial transactions supporting strategic management activities, including financial management arrangements supporting the agency's fraud control plan, use FINANCIAL MANAGEMENT.*

*For the receipt or provision of advice to the portfolio Minister or other government agencies, including responding to surveys by other agencies and providing feedback on proposed government-wide strategic management policies, use EXTERNAL RELATIONS.*

*For the processes involved in the application, receipt and management of grant funding from the public or private sector, use EXTERNAL RELATIONS.*

*For managing tendering, and contracting-out arrangements supporting the strategic management function, use PROCUREMENT.*

*For implementing organisational structural changes including those resulting from privatisation or outsourcing, or transfer of a function of government to another jurisdiction, use ESTABLISHMENT.*

*For investigations into fraud that result in allegations of misconduct made against an employee or volunteer worker, use PERSONNEL MANAGEMENT.*

*For developing and executing contracts under seal or deeds, including signed joint venture contracts under seal, use CONTRACTS UNDER SEAL/DEEDS.*

*Cross references to other records authorities*

*For the establishment and management of the agency's governing body (such as boards, trusts, councils, commissions etc), use General Records Authority 27 – Governing Bodies.*

*For the establishment and management of statutory and non-statutory advisory bodies supporting the agency's core business, use General Records Authority 26 – Advisory Bodies.*

*For fraud surveillance and investigations undertaken by an agency as a core business function, use the relevant function under the agency's own records authority.*

<b>Class no</b>	<b>Description of records</b>	<b>Disposal action</b>
62602	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• developing proposals for new legislation and amendments to existing legislation administered by the agency. Includes submissions prepared for the agency's executive or corporate management committee;</li> </ul> <p><i>[For supporting the preparation and passage of agency legislation through Parliament, including advice and submissions to Cabinet, the portfolio Minister and other government agencies relating to legislative proposals, use EXTERNAL RELATIONS.</i></p> <p><i>For legal advice received on the interpretation of legislation, use LEGAL SERVICES.]</i></p> <ul style="list-style-type: none"> <li>• high-level corporate committees and other bodies with overall responsibility for making major decisions in the area of agency policy and agency corporate planning (eg executive management committees). Includes establishment documentation, agenda, final versions of minutes, recommendations, reports and tabled papers;</li> </ul> <p><i>[For meetings of agency governing bodies (eg such as boards, trusts, councils, commissions etc), use General Records Authority 27 – Governing Bodies.]</i></p> <ul style="list-style-type: none"> <li>• final versions of agency-wide strategic and corporate plans;</li> <li>• developing and establishing agency-wide strategic management policies (eg fraud control policies). Includes final versions, national policy statements, policy proposals, major drafts, reports, stakeholder consultation, and supporting research;</li> <li>• final versions of high-level internal and external reports supporting the strategic management function (eg reports on the agency's performance against corporate objectives and goals);</li> </ul> <p><i>[For developing and submitting the agency's Annual Report, use EXTERNAL RELATIONS.]</i></p> <ul style="list-style-type: none"> <li>• setting of agency performance expectations for the agency. Includes statement of expectations, statement of intent, final versions of approved performance agreements and supporting documentation of negotiations involved in setting performance expectations, such as notes of meetings;</li> </ul>	Retain as national archives



## STRATEGIC MANAGEMENT

Class no	Description of records	Disposal action
	<p>and</p> <p><i>[For the establishment of performance management agreements for governing bodies or members of governing bodies, use General Records Authority 27 – Governing Bodies.</i></p> <p><i>For individual employee performance agreements, use PERSONNEL MANAGEMENT.]</i></p> <ul style="list-style-type: none"> <li>final versions of agreements and supporting documents that relate to the privatisation or outsourcing of an agency core business function, or the transfer of a core business function to or from another jurisdiction. Includes stakeholder consultation, supporting research, due diligence records and related correspondence and reports.</li> </ul> <p><i>[For changing organisational structure in response to privatisation or outsourcing, or the transfer of a function of government, use ESTABLISHMENT.</i></p> <p><i>For the privatisation of Australian Government entities and companies in their entirety, use General Records Authority 34 – Establishing &amp; winding up entities &amp; companies.]</i></p>	
62603	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>internal and external audits relating to the strategic management function. Includes final audit report, findings, major drafts, stakeholder consultation, notes taken at opening and exit interviews, liaison with the auditing body and supporting research;</li> <li>internal and external committees, working groups, and other bodies supporting the strategic management function (eg audit committee, steering committees, ad hoc committees), other than those covered in class 62602. Includes establishment documentation, agenda, final versions of minutes, reports and tabled papers; and</li> </ul> <p><i>Note: Committees formed to consider specific matters that have a strategic management perspective function should be linked to more specific functions (eg use PERSONNEL MANAGEMENT for personnel committees, and TECHNOLOGY &amp; INFORMATION MANAGEMENT for information technology steering committees).</i></p> <ul style="list-style-type: none"> <li>reviews of agency programs and operations supporting the strategic management function. Includes establishment documentation, final report and action plan.</li> </ul>	Destroy 10 years after action completed
62604	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>negotiation, establishment, maintenance and review of internal service level agreements made between business units of the agency;</li> <li>working papers documenting the development of agency procedures and plans supporting the strategic management function. Includes drafts and stakeholder feedback.</li> </ul> <p><i>[For final versions of agency procedures, reports and reviews supporting the strategic management function, use class 62605.]</i></p>	Destroy 3 years after action completed

## STRATEGIC MANAGEMENT

Class no	Description of records	Disposal action
62605	Records documenting: <ul style="list-style-type: none"><li>• routine operational administrative tasks supporting the function; and</li><li>• strategic management activities, other than those covered in classes 62602 to 62604.</li></ul>	Destroy 7 years after action completed