

ESTABLISHMENT

The function of establishing and changing the organisational structure. Including moving employees from one agency to another and reducing and increasing an agency's staffing levels. Also includes internal reorganisations to meet agency goals.

Note: Before using this Authority, agencies that employ staff under legislation other than the Public Service Act 1999 should check their own enabling legislation and other regulatory directives for major variations from the Public Service Act. In cases where the variations differ greatly the Administrative Functions Disposal Authority is not applicable and should not be used. Coverage in such circumstances must be included under the agency's own Records Authority.

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
1181 ■■■■■■■■	Records documenting the receipt and provision of advice on the establishment function.	Destroy 2 years after action completed

Authorisation

The process of delegating power to authorise an action and the seeking and granting permission to undertake a requested action.

Class No	Description of records	Disposal action
1182 ■■■■■■■■	Delegations of power to agency staff to authorise administrative action relating to the establishment function.	Destroy 7 years after delegation expires
1183 ■■■■■■■■	Authorisations for administrative actions relating to the establishment function.	Destroy 7 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.

For records of high-level corporate committees responsible for the overall strategic directions of an agency, including establishment structures, use STRATEGIC MANAGEMENT - Committees.

Class No	Description of records	Disposal action
1184 ■■■■■■■■	Records of internal and external committees formed to consider matters relating to the establishment function. Includes: <ul style="list-style-type: none"> • documents establishing the committee; • final versions of minutes; • reports; • recommendations; and • supporting documents such as briefing papers and discussion papers. 	Destroy 5 years after action completed
1185 ■■■■■■■■	Working papers documenting the conduct and administration of committees which consider matters relating to the establishment function. Includes: <ul style="list-style-type: none"> • agenda; • notices of meetings; and • draft minutes. 	Destroy when reference ceases

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
1186 ■■■■■■■■	Records documenting the evaluation of positions and assigned duties of employees against existing or planned organisational structures to support corporate requirements and resource needs. <i>[For the evaluation of goods and services being considered for procurement in support of the establishment function, use PROCUREMENT – Evaluation.]</i>	Destroy 5 years after last action

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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
1187 ■■■■■■■■	Final version of minutes and supporting documents tabled at meetings held to support the establishment function. Includes meetings with external agencies.	Destroy 3 years after action completed
1188 ■■■■■■■■	Working papers documenting the conduct and administration of meetings held to support the establishment function. Includes agenda, notices of meetings and draft minutes.	Destroy when reference ceases

Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

For corporate plans that include the establishment structure of the agency, use STRATEGIC MANAGEMENT - Planning.

Class No	Description of records	Disposal action
1189 ■■■■■■■■	Final version of agency-wide establishment plans.	Destroy 10 years after plan is superseded
1190 ■■■■■■■■	Final version of a section or business unit's establishment plans, including state, regional or overseas office.	Destroy 3 years after plan is superseded
1191 ■■■■■■■■	Working papers used in developing all establishment plans. Includes draft plans, reports analysing issues, and comments received and input made by other areas of the agency.	Destroy 1 year after adoption of the final plan
1192 ■■■■■■■■	Copies of all establishment 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
1193 ■■■■■■■■	Records documenting the development and establishment of the agency's establishment policies. Includes: <ul style="list-style-type: none"> • policy proposals; • research papers; • results of consultations; • supporting reports ; • major drafts; and • final policy documents. 	Destroy 10 years after policy is superseded
1194 ■■■■■■■■	Records documenting comments made on the development of government-wide establishment policies.	Destroy 3 years after promulgation of the new policy
1195 ■■■■■■■■	Working papers documenting the development of all establishment policies.	Destroy 3 years after promulgation of the new policy
1196 ■■■■■■■■	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.

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1197 ■■■■■■■■	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the establishment function.	Destroy when procedures are superseded
1198 ■■■■■■■■	Records documenting the development of agency procedures supporting the establishment function.	Destroy 1 year after production of procedures
1199 ■■■■■■■■	Copies of manuals, handbooks, directives etc.	Destroy when reference ceases

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
1200 ■■■■■■■■	Final version of formal internal reports and reports made to external agencies relating to the establishment function.	Destroy 5 years after report is completed
1201 ■■■■■■■■	Final version of periodic reports on general administrative matters used to monitor and document recurring activities to support the establishment function.	Destroy 3 years after report is completed
1202 ■■■■■■■■	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 1 year after report is completed
1203 ■■■■■■■■	Copies of establishment reports.	Destroy when reference ceases

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Restructuring

The activities involved in the reassessment of the activities, goals and structure of an organisation. Includes consideration of the number of staff, their position descriptions, equipment, and other resources required to meet objectives.

Class No	Description of records	Disposal action
1204 ■■■■■■■■	Records documenting the establishment and development of a new agency structure. Includes: <ul style="list-style-type: none"> copies of instruments giving effect to the machinery of government changes (including transfers of functions in and out of the Commonwealth) and details provided to facilitate administrative rearrangements relating to the transfer of functions and employees to other agencies; and records documenting an internal restructure. <p><i>[For agreements between transferred employees and the receiving agency relating to remuneration and conditions of employment, use PERSONNEL - Agreements.]</i></p>	Destroy 10 years after last action
1205 ■■■■■■■■	Records documenting agency adoption of new work level standards.	Destroy 7 years after standards are superseded
1206 ■■■■■■■■	Agency-wide organisational charts produced after major restructure eg a machinery of government change or an extensive internal restructure held by the area of the agency responsible for the establishment function.	Retain as national archives
1207 ■■■■■■■■	Copies of agency-wide organisation charts held in other areas of the agency, or charts showing lower levels of the organisation.	Destroy when reference ceases

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Reviewing

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

Class No	Description of records	Disposal action
1208 ■■■■■■■■	Records documenting a review and reassessment of agency organisational structures against identified corporate requirements.	Destroy 10 years after action completed
1209 ■■■■■■■■	Records documenting a review of agency programs and operations supporting the establishment function. Includes documents establishing the review, final report and action plan.	Destroy 5 years after action completed
1210 ■■■■■■■■	Working papers supporting the conduct of an agency review.	Destroy 2 years after action completed

Vacancies

The activities associated with managing positions in the organisation that are currently unoccupied.

Class No	Description of records	Disposal action
1211 ■■■■■■■■	Records documenting the management of vacancies.	Destroy 1 year after last action

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Variations

The activities involved in varying the organisation's condition, character or nature of processes and other things that are not physical objects. Includes creating and abolishing individual positions.

For the assignment of duties to individual employees, use PERSONNEL - Employment Conditions.

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1212 ■■■■■■■■■■	Records documenting the creation, variation, abolition, transfer or reclassification of positions and assigned duties. Includes authorised establishment variation authorities, position profiles and selection criteria.	Destroy 7 years after position or assigned duties have been abolished or altered
1213 ■■■■■■■■■■	Applications to vary positions and assigned duties not approved or proceeded with.	Destroy 3 years after last action