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INTRODUCTION

The appraisal process

The appraisal of Commonwealth records is based on the methodology for Designing and Implementing Recordkeeping Systems (DIRKS) outlined in the Australian Standard AS4390-1996, *Records Management, Part 1: General*, Clause 1.3, and expanded in the DIRKS Manual. It is an analytical process that involves identifying which records should be created, assessing the value of records for future use, identifying those records with enduring value and deciding how soon the remainder can be destroyed or otherwise disposed of.

The process can involve making decisions about the alteration of records, and where records have already been created, the transfer of ownership or custody of these records. It also involves authorising the action arising from the assessment and putting the action into effect by sentencing. The appraisal process provides a framework of accountability for recordkeeping.

Disposal authorisation

Section 24 of the *Archives Act 1983* provides that records are not to be disposed of without the consent of the Archives unless the action of disposal is positively required by law, or takes place in accordance with a normal administrative practice of which the Archives does not disapprove. Advice on the provisions of the Archives Act can be obtained from any National Archives office.

Purpose of this authority

This authority authorises the transfer of custody or ownership, or other disposal, of Commonwealth records as required by the Archives Act.

Using this authority

This authority covers records controlled by the agency and applies only to the records or classes of records described in the authority.

This authority is to be used to determine the custody or ownership of Commonwealth records. This is done by a process known as 'sentencing'. Sentencing involves the examination of records in order to identify the individual disposal class to which they belong. This process enables the sentencing officer to determine the appropriate disposal action for the records. Advice on sentencing can be obtained from your nearest National Archives office.

Records remaining in Commonwealth custody should be sentenced in accordance with the Administrative Functions Disposal Authority issued by the National Archives to cover housekeeping and other records common to most Commonwealth agencies and other specific Records Disposal Authorities issued to the agency. Records selected as national archives should be transferred into the custody of the National Archives. The Archives no longer accepts records which have not been sentenced in accordance with valid records disposal authorities. Commonwealth agencies may withdraw records for official reference purposes through the lending service.

Application of the Administrative Functions Disposal Authority, issued February 2000

Ownership of the records sentenced for retention as national archives under the *Administrative Functions Disposal Authority* is to be retained by the Commonwealth. These records should be transferred to the National Archives.

Ownership of the records sentenced under all other classes of the *Administrative Functions Disposal Authority* is to be transferred to Sydney Airports Corporation Limited (SACL) upon the completion of the sale of shares in SACL by the Commonwealth to the new owner. Note 1 in Conditions of the Authority applies to these records.

Conditions attached to the disposal authority

The approval of the National Archives of Australia to transfer ownership of the records described in this Authority is based on the following conditions:

1. Where the ownership of records is transferred to Sydney Airports Corporation Limited (SACL) or its successor, the Portfolio Department shall ensure that it has access to:
 - (a) all the records for a period of ten years unless otherwise stated in this Authority, the Administrative Functions Disposal Authority, RDA 1296 or RDA 1352; and
 - (b) records which have been sentenced under the Compensation, Occupational Health and Safety and Personnel functions of the Administrative Functions Disposal Authority for such period as SACL or its successor continues to retain those records after the expiration of the period of ten years referred to in paragraph (a) of this condition.
2. Where ownership of records is not to be transferred to SACL or its successor, SACL will use its best efforts to physically remove the original records appropriately to the custody of the National Archives before the completion of the sale of shares from the Commonwealth in SACL to the new owner. If any of these records remain in the custody of SACL at the time of completion of the sale, SACL or its successor must ensure that the records are transferred appropriately to National Archives within a maximum period of 6 months of the completion of the sale.
3. Where records in this authority are designated for transfer to the National Archives, and transfer takes place prior to the completion of the sale of shares in SACL from the Commonwealth to the new owner, the Portfolio Department will ensure that copies of those records required for the ongoing operation of the airport by SACL (under new ownership) or its successor will be left at the airport. Where records designated for transfer remain in the custody of SACL (under new ownership), SACL or its successor may, at its own cost, copy the records before their transfer to the Archives. If SACL or its successor wants to access the original records after the transfer takes place, access can be granted by agreement with the Portfolio Department.

In some circumstances, it may be necessary for the relevant Commonwealth agency to enter into contractual arrangements with the body taking custody or ownership of the records to ensure that the ongoing needs of the Commonwealth are protected. The contract may include clauses to:

- recover records at the completion of the contract, or at any other reasonable time
- ensure that the records are appropriately managed and maintained
- protect the security of the records
- ensure compliance with the provisions of the *Privacy Act 1988* as if the custodian was the 'Record Keeper' in accordance with that Act

- prevent unauthorised disclosure of information, in accordance with the provisions of the *Crimes Act 1914* and any legislation relevant to your agency
- provide for reasonable access to the records by the Commonwealth and its authorised agents
- limit the use of the records to legitimate purposes under the terms of the contract

You should seek specific legal advice on these matters.

Classes identified as national archives

Classes identified as 'national archives' in this authority may be subject to amendment based on the outcome of any functional appraisal project undertaken by the controlling agency of the records. Such amendment requires the consent of the controlling agency and must be approved by the National Archives.

Amendment of this authority

An amendment of this authority must be approved by the National Archives. Officers using the authority should advise the National Archives of any changes considered desirable.

CONTACT INFORMATION

1. For changes to this RDA contact the Canberra Office of the National Archives of Australia:

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

Tel: (02) 6212 3610

Email: recordkeeping@naa.gov.au

Website: www.naa.gov.au

2. For sentencing advice contact your local office of the National Archives. The address and phone number of your local office can be found at the National Archives web-site address above.

RDA Job No 2001/900

AUTHORISATION
RECORDS DISPOSAL AUTHORITY

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

The Secretary
Department of Transport and Regional
Services
GPO Box 594, Canberra ACT 2601

Purpose:

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

Application:

All records recorded and controlled by Sydney Airports
Corporation Limited, 1920 to the date of sale.

This authorisation applies to only the disposal of the records described on the authority in accordance with the disposal action specified on the authority. The authority will apply only if disposal takes place with the consent of the agency that is responsible at the time of disposal for the functions documented in the records concerned.

Authorising Officer, National Archives of
Australia


Venetia Beale,
Director, Recordkeeping Implementation

Date of Issue 7 June, 2002

Date of Amendment

Expiry Date

AIRPORT MANAGEMENT

Air Safety Reports and Safety and Regulatory Reports

Entry	Description of Records	Disposal Action
3015	All records (Date Range: 1920 - 2002)	Destroy 7 years after action completed. Transfer ownership to SACL (See Conditions attached to the Disposal Authority, No. 1)

AIRPORT MANAGEMENT

Airport Operational Policy and Procedure Records

Instructions include:

- emergency procedures
- security procedures
- facilitation plans (for passengers and crew)
- aircraft movement and parking procedures
- vehicle movements and parking (airside and landside)
- navigation aids
- disabled aircraft removal strategy plans
- airport disaster / security exercises

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
3016	Records documenting significant policy and procedural development of airport operational procedures or instructions. Such materials include consolidated input into and comment on drafts or revisions of operational procedures, manuals, instructions, circulars and the like, prepared for use by the airport. (Date Range: 1920 - 2002)	Retain as national archives. SACL to be granted access to the records by agreement with Portfolio Department
3017	Master set of operational procedures, manuals, instructions, circulars or the like maintained by the airport to which the records relate. (Date Range: 1920 - 2002)	Retain as national archives. SACL to be granted access to the records by agreement with Portfolio Department
3018	Less significant airport policy and procedure records which document day to day operational issues such as parking and the management of aircraft waste. (Date Range: 1920 - 2002)	Destroy 10 years after action completed. Transfer ownership to SACL (See Conditions attached to the Disposal Authority, No. 1)
3019	Reference or working copies of operational procedures, manuals, instructions, circulars and the like. (Date Range: 1920 - 2002)	Destroy when reference ceases. Transfer ownership to SACL (See Conditions attached to the Disposal Authority, No. 1)

AIRPORT MANAGEMENT

Airport Planning and Strategy Records

Entry	Description of Records	Disposal Action
3020	Records (including photographs) documenting significant policy, procedures, planning and statistics relating to the airport. Includes: <ul style="list-style-type: none">·master plans·environmental impact studies·urban planning and infrastructure studies·market research studies and surveys·environmental contamination studies·environmental management plan·noise planning (Date Range: 1920 - 2002)	Retain as national archives. SACL to be granted access to the records by agreement with Portfolio Department
3021	Less significant airport planning and strategy records such as fences, landscaping planning etc. (Date Range: 1920 - 2002)	Destroy 10 years after action completed. Transfer ownership to SACL (See Conditions attached to the Disposal Authority, No. 1)

Major Infrastructure Drawings and Project Records

Includes car parks and roads. Excludes records classed as significant Planning and Development Drawings and Project records.

Entry	Description of Records	Disposal Action
3022	Original drawings, As Built Drawings, Project files, photographs (Date Range: 1920 - 2002)	Retain as national archives. SACL to be granted access to the records by agreement with Portfolio Department
3023	Other records and information copies. (Date Range: 1920 - 2002)	Destroy when reference ceases. Transfer ownership to SACL (See Conditions attached to the Disposal Authority, No. 1)

AIRPORT MANAGEMENT

Notice to Airmen, Aeronautical Information Publication, En Route Supplement to Aerodromes

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
3024	Copies of records initiating or requesting issue of notices to airmen (NOTAMS) and/or amendments or updates to aeronautical information publication (AIP) and/or en route supplement to aerodromes (ERSA). (Date Range: 1920 - 2002)	Transfer ownership to SACL on condition that they be retained for 1 year (See Conditions attached to the Disposal Authority, No. 1)

Other administrative and functional records

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4008	Other records covered by RDA 1296 and RDA 1352. (Date Range: 1920 - 2002)	Transfer ownership to SACL (See Conditions attached to the Disposal Authority, No. 1)

AIRPORT MANAGEMENT

Planning and Development Drawings and Project Records

Entry	Description of Records	Disposal Action
3025	Significant construction and engineering projects (including buildings, runways, structures and other engineering works) which incorporate exceptional features as a consequence of Sydney Airport Corporation Ltd user requirements. These projects may also include new or innovative architectural features. Original drawings, As Built Drawings, Project files, Photographs. (Date Range: 1920 - 2002)	Retain as national archives. SACL to be granted access to the records by agreement with Portfolio Department
3026	Other drawings, project records for construction and engineering projects not considered significant including copies of records. (Date Range: 1920 - 2002)	Transfer ownership to SACL on condition that they be retained for the life of the structure (See Conditions attached to the Disposal Authority, No. 1)
3027	Records of minor projects (usually less than \$100,000) not considered significant. (Date Range: 1920 - 2002)	Destroy 7 years after last action. Transfer ownership to SACL (See Conditions attached to the Disposal Authority, No. 1)

AIRPORT MANAGEMENT

Records of Non-Scheduled Operations (Domestic and International)

Entry	Description of Records	Disposal Action
3028	Records that relate to applications that have been approved. (Date range: 1920 - 2002)	Destroy 7 years after action completed. Transfer ownership to SACL (See Conditions attached to the Disposal Authority, No. 1)
3029	Records that relate to applications that have been refused. (Date range: 1920 - 2002)	Destroy 7 years after action completed. Transfer ownership to SACL (See Conditions attached to the Disposal Authority, No. 1)