



**Australian Government**  

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**National Archives of Australia**

**Records Authority**  
**Australian National Maritime Museum**

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## INTRODUCTION

The Australian National Maritime Museum and the National Archives of Australia have developed this Records Authority to set out the requirements for keeping or destroying records for the core business areas of Collection Management, Commercial Services and Program Management. It represents a significant commitment on behalf of the Australian National Maritime Museum to understand, create and manage the records of its activities.

This Authority is based on the identification and analysis of the business of the Australian National Maritime Museum. It takes into account the agency's legal and organisational records management requirements, and the interests of stakeholders, the agency and the National Archives of Australia.

This Authority gives Australian National Maritime Museum permission under the *Archives Act 1983*, for the destruction, retention or transfer to the National Archives of Australia of the records described. The Authority sets out those records that need to be retained as national archives and the minimum length of time that temporary records need to be kept. Retention periods for these temporary records are based on: an assessment of business needs; broader organisational accountability requirements; and community expectations, and are approved by the National Archives of Australia on the basis of information provided by the agency.

The Australian National Maritime Museum may use the following tools to dispose of their records:

- this Records Authority covering its agency specific records;
- general records authorities, such as the Administrative Functions Disposal Authority (AFDA), covering business processes and records common to Australian Government agencies; and
- normal administrative practice (NAP) which allows for the destruction of records where the records are duplicated, unimportant or for short-term use only.

As changes in circumstances may affect future records management requirements, the periodic review of this Authority is recommended. All amendments must be approved by the National Archives.

Advice on using this Authority and other records management matters is available from the National Archives' website at [www.naa.gov.au](http://www.naa.gov.au) or by contacting the Agency Service Centre at [recordkeeping@naa.gov.au](mailto:recordkeeping@naa.gov.au) or (02) 6212 3610.

## APPLICATION OF THIS AUTHORITY

1. This Authority should be used in conjunction with the Administrative Functions Disposal Authority (AFDA) issued by the National Archives to cover administrative records common to Australian Government agencies.
2. This Authority should be used in conjunction with general disposal authorities issued by the National Archives that cover other types of records that may be created by the Australian National Maritime Museum such as encrypted records and source records that have been copied.
3. This Authority is to be used to sentence records. Sentencing involves the examination of records in order to identify the individual disposal class to which they belong. This process enables sentencers to determine how long records need to be kept. Advice on sentencing is available from the National Archives.
4. Where the method of recording information changes (for example from a manual system to an electronic system, or when information is migrated from one system to a new system) this Authority can still be used to sentence the records created, providing the records document the same core business. The information must be accessible for the period of time prescribed in this Authority. The Australian National Maritime Museum will need to ensure that any software, hardware or documentation required to enable continuing access to the information is available for the periods prescribed.
5. In general, retention requirements indicate a minimum period for retention. The Australian National Maritime Museum may extend minimum retention periods if it considers that there is an administrative need to do so, without further reference to the National Archives. Where the Australian National Maritime Museum believes that its accountability will be substantially compromised because a retention period or periods are not adequate, it should arrange for a review of the retention period.
6. The Australian National Maritime Museum may destroy certain records without formal authorisation as a normal administrative practice. This usually occurs where the records are duplicated, facilitative or for short-term use only. NAP does not replace the arrangements agreed to in authorities. Advice and guidance on destroying records as a normal administrative practice is available from the National Archives' website at [www.naa.gov.au](http://www.naa.gov.au).
7. From time to time the National Archives will place a freeze on some groups of records to prevent their destruction. Further information about disposal freezes and whether they affect the application of this Authority is available from the National Archives' website at [www.naa.gov.au](http://www.naa.gov.au).
8. Records in the care of the Australian National Maritime Museum should be appropriately stored and preserved. The Australian National Maritime Museum needs 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 are in the open access period (currently after 30 years).
9. Appropriate arrangements should 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.
10. Advice on how to use this Authority is available from the Australian National Maritime Museum 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 recordkeeping matters, please contact National Archives' Agency Service Centre.

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Email: [recordkeeping@naa.gov.au](mailto:recordkeeping@naa.gov.au)

Website: [www.naa.gov.au](http://www.naa.gov.au)

# AUTHORISATION

## RECORDS AUTHORITY

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

Director  
Australian National Maritime Museum  
2 Murray Street  
Darling Harbour  
Sydney NSW

**Purpose:**

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

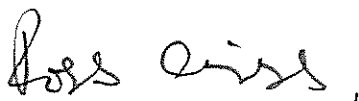
**Application:**

Collection Management  
Commercial Services  
Program Management

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

**Authorising Officer**

**Date of issue:**



Ross Gibbs  
Director-General  
National Archives of Australia



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## COLLECTION MANAGEMENT

The core business of developing and managing the national maritime collection which has the focus areas of indigenous communities, exploration and European settlement, convicts, migrants and refugees, Australian naval history, shipping and trade, environment and industry, maritime technology, maritime archaeology, sport and lifestyle, and Australian/American maritime experience. Also includes the management of other material, such as historical vessels, large objects and replicas, related to the maritime focus of the organisation.

Processes associated with this core business include:

- acquiring historical material through purchase (from private individuals, dealers, at auction), donation/bequest, gift as part of the Commonwealth Cultural Gifts Program or equivalent, field surveys, or as a transfer of assets from other Commonwealth, state and local government agencies
- researching, registering and documenting details of the material
- conserving and restoring historical material
- de-accessioning and disposing of historical material that is no longer required
- obtaining licences, permits, approvals and certification to undertake particular action, such as holding and discharging firearms
- providing loans of the material to other organisations
- developing policies and procedures for the management of the collection and other historical material
- taking inventory and valuing collection objects and other historical material.

*For programs, including exhibitions and public events, that involve the use of the collection, including vessel voyages, use PROGRAM MANAGEMENT.*

*For professional relations and submissions concerning the organisation's role and programs as a collecting and cultural institution, use PROGRAM MANAGEMENT.*

*For maritime research and archaeology programs use PROGRAM MANAGEMENT.*

*For procuring the services of contractors and consultants and routine supplies required to manage the collection, use AFDA - PROCUREMENT.*

*For building activities required to support the collection, including environmental controls, security and construction, use AFDA - PROPERTY MANAGEMENT.*

*For strategic management committees that facilitate business planning for the organisation, including the collection and exhibitions committee, use AFDA - STRATEGIC MANAGEMENT – Committees.*

*For incoming loans, including loans on long-term display in core gallery exhibitions, use PROGRAM MANAGEMENT.*

## COLLECTION MANAGEMENT

Entry	Description of records	Disposal action
20061	<p>Records documenting the collection management core business that relate to the high-level control, preservation, and use of the collection and that have a significant impact on its ongoing management. Includes:</p> <ul style="list-style-type: none"><li>• overarching collection management policies and plans, including the collection development policy and long-term preservation plans</li><li>• acquisition records, such as proposals and reasons for acquisition, provenance, invoices, deeds of gift, approvals, property rights agreements, including intellectual property rights and copyright, object description papers, object condition and conservation reports, and negotiations and letters of acceptance for items which are eventually accessioned</li><li>• records documenting proposed acquisitions for complex and/or high financial value objects that do not proceed</li><li>• accessioning and de-accessioning registers</li><li>• de-accessioning proposals and approvals</li><li>• records documenting conservation work and treatment undertaken for historical material/collection items where the material form of the entity is affected, includes maintenance treatment of large objects and vessels</li><li>• control records, such as the collection management database, classification methods, other catalogues and registers and metadata that provide essential finding aids and provenance for the collection</li><li>• large object and vessel management plans</li><li>• original research and digital or audiovisual productions supporting accessioned historical material/collection item history and use, such as those which contain rare or unique accumulations of material on a topic or case, including oral history projects</li><li>• master set of guides to the collection and exhibitions, including vessels, and associated background research</li><li>• outgoing loans where significant objects are loaned or where there is high level interaction with an organisation with whom the museum has a cultural affinity.</li></ul>	Retain as national archives

## COLLECTION MANAGEMENT

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
20062	<p>Records documenting the collection management core business that relate to routine acquisition, control, preservation and use of the collection and do not have a significant impact on its ongoing management. Includes:</p> <ul style="list-style-type: none"><li>• records relating to routine acquisitions where the acquisitions do not proceed</li><li>• sources for potential acquisitions, including offers made by the public</li><li>• background information for potential acquisitions that does not constitute original research</li><li>• written requests, application forms, approvals, and agreements for routine incoming loans and routine condition reports on incoming loans</li><li>• records documenting use of accessioned objects, including reproduction rights, copyright and other applications of intellectual property rights</li><li>• reports and application forms for outgoing loans of the organisation's historical material</li><li>• routine conservation treatment and maintenance reports and records, including large object and vessel maintenance schedules, where there has been no change to the item's material form</li><li>• responses to public enquiries that relate to the collection management function</li></ul>	Destroy 20 years after last action
20063	<p>Records documenting routine administrative and compliance matters concerning the collection management core business. Includes:</p> <ul style="list-style-type: none"><li>• day-to-day collection management policies and procedures, such as conservation policies and procedures, registration procedures, vessel operational procedures, and inventory control procedures</li><li>• collection inventory, valuation and insurance records</li><li>• licences, permits, approvals and certification for undertaking actions, such as the keeping and use of firearms, vessel certification, quarantine permits and vessel radio-communications licences</li></ul>	Destroy 7 years after last action

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## COMMERCIAL SERVICES

The core business of promoting the activities undertaken by the Museum, seeking and receiving sponsorship and donations and undertaking business activities for a commercial purpose. Includes:

- promoting exhibitions, events and public programs
- arranging sponsorship of events and activities conducted by the organisation
- receiving public financial donations in support of core functions
- development and retail sales of merchandise through the store
- managing food and beverage services that are provided through the organisation's café and kiosk outlets
- venue hire and catering in relation to the use of the organisation's premises for short-term purposes, such as weddings and parties
- visitor ticketing
- managing visitor services feedback
- undertaking market research
- providing statistical reports in relation to commercial activities, such as sales
- undertaking and participating in activities with other organisations to encourage tourism and broad commercial improvements for the area
- establishing and operating commercial business entities.

*For the provision of programs, including exhibitions and major public events, use PROGRAM MANAGEMENT.*

*For maritime research and archaeology projects that may be undertaken on a commercial basis for clients, use PROGRAM MANAGEMENT.*

*For financial transactions and compliance reporting relating to commercial activities, use AFDA - FINANCIAL MANAGEMENT.*

*For membership and meetings of the organisation's subsidiary companies, use AFDA - GOVERNING BODIES.*

*For procuring the services of contractors and consultants and routine supplies required to manage commercial operations, use AFDA - PROCUREMENT.*

*For the publication of marketing brochures, posters and flyers, use AFDA - PUBLICATION.*

*For strategic management committees that facilitate business planning for the organisation, including the marketing, programs and sponsorship committee, use AFDA - STRATEGIC MANAGEMENT - Committees.*

Entry	Description of records	Disposal action
20065	<p>Records documenting decisions, major plans, outcomes and agreements that have a significant impact on the ongoing performance, conduct, future directions and management of commercial services. Includes:</p> <ul style="list-style-type: none"> <li>• design records and intellectual property agreements associated with commercial products owned and sold by the organisation</li> <li>• policies, decisions, strategies and guidelines ratified by senior management, including those relating to new products and services, advertising, sponsorship, sales/distribution and pricing</li> <li>• minutes or proceedings of high-level meetings with commercial stakeholders, including sponsors</li> <li>• final visitor statistics reports.</li> </ul>	Disposal not authorised

## COMMERCIAL SERVICES

Entry	Description of records	Disposal action
20066	<p>Records documenting high level monitoring, reporting and compliance in relation to the commercial services core business. Includes:</p> <ul style="list-style-type: none"> <li>• final market research reports that have an impact on the commercial operations of the museum</li> <li>• final marketing plans for member events, exhibitions and other major events produced by the organisation</li> <li>• final reports on sponsor activity.</li> </ul> <p><i>For market research reports that initiate changes in direction that develop into a new policy or strategy, use COMMERCIAL SERVICES – Class 20065.</i></p>	Destroy 20 years after last action
20121	<p>Records documenting administration, liaison and promotion concerning routine commercial activities. Includes:</p> <ul style="list-style-type: none"> <li>• sponsorship agreements and contracts, relations with potential sponsors</li> <li>• operational policies and procedures, such as store and visitor policies and procedures</li> <li>• meetings and correspondence with franchisees and other external commercial stakeholders</li> <li>• marketing plans, reports, collateral, signage requests and correspondence for commercial events and services, other than member programs, major events and exhibitions, and other minor commercial activities.</li> <li>• data collected for market research and visitor reports, including completed visitor exit and tracking survey forms</li> <li>• product inventories and stocktake records</li> <li>• venue bookings and catering arrangements</li> <li>• photographs of sample venue set-up and themes provided to clients</li> <li>• client enquiries</li> <li>• reports of commercial and marketing activities, such as sales reports.</li> </ul>	Destroy 7 years after last action

## PROGRAM MANAGEMENT

The core business of managing and delivering cultural and associated programs that draw upon material in the national maritime collection or otherwise in the possession of the Museum, and that disseminate information about Australian maritime history to the public and maritime heritage stakeholders. Includes:

- managing core gallery, traveling and temporary exhibitions by means such as production scheduling, budgeting, preparation of exhibition content lists, label texts, exhibition design and construction, liaison and receipt of loans from external sources of material for exhibition and/or design elements, agreements for terms of loan, arranging secure transportation of material, assessment, conservation/treatment and reporting on the condition of material for exhibition, preparation commissioning, development of audiovisual and interactive content and negotiating copyright arrangements
- developing, receiving submissions, and approving concepts for exhibitions, major events, and commemorations, including those that take place exclusively online
- securing grants and other funds, excluding sponsorships, and entering into agreements with external sources in relation to cultural programs
- supporting exhibitions and major events by providing adult, school, family and infant education programs, visitor events and the members program
- providing ongoing adult, school, family, infant and member education programs and visitor events that are not linked to specific exhibitions/events
- promoting and assisting with the development of maritime heritage through involvement in assistance programs, such as the Maritime Museums of Australia Project Support Scheme (MMAPSS)
- managing and facilitating access to information about surviving vessels of significance to Australia's maritime heritage, including details of historic boats, their designers, builders and owners, through programs such as the Australian Register of Historical Vessels
- managing commemorative programs, such as the Welcome Wall
- operating historical vessels and replicas, such as the HMB Endeavour
- conducting and assisting with research into matters relating to Australian maritime history, including the scientific study of underwater cultural heritage and related land-based sites, and providing expert advice and assistance to designated Australian government and overseas agencies with site management, assessment, documentation, conservation and interpretation through programs such as the Maritime Archaeology Program
- managing professional relations and providing submissions concerning the organisation's core business, programs and role as a collecting and cultural institution.

*For marketing, arranging sponsorship, producing and selling merchandise and monitoring visitor statistics in relation to programs provided by the organisation, use COMMERCIAL SERVICES.*

*For presentations given for public or cultural relations purposes, use AFDA - COMMUNITY RELATIONS – Addresses (Presentations).*

*For the handling of general requests for information about the Museum and its services by the general public or another organisation, use AFDA - COMMUNITY RELATIONS – Enquiries.*

*For master press releases, including those relating to the organisation's program management core business, use AFDA - COMMUNITY RELATIONS – Media Relations.*

*For the management and provision of library services, including requests from internal and external clients, use AFDA - INFORMATION MANAGEMENT.*

*For the management of health and safety matters, such as exhibition fit-out and voyaging, related to the provision of programs, use AFDA - OCCUPATIONAL HEALTH & SAFETY (OH&S).*

*For procuring the services of contractors and consultants and routine supplies required to manage programs, use AFDA - PROCUREMENT.*

*For published material produced by the organisation, including exhibition publications and published presentations, use AFDA - PUBLICATION.*

*For building security arrangements made for the provision of programs, use AFDA - PROPERTY MANAGEMENT - Security.*

*For strategic management committees that facilitate business planning for the organisation, including the strategic collection and exhibitions committee, use AFDA - STRATEGIC MANAGEMENT – Committees.*

## PROGRAM MANAGEMENT

Entry	Description of records	Disposal action
20072	<p>Records documenting the program management core business that relate to high-level planning, agreements, control, meetings, submissions and evaluation. Includes:</p> <ul style="list-style-type: none"> <li>• final project documentation for exhibitions and major events produced and co-produced by the organisation or reflecting major core gallery fit-outs or changeovers where there are notable changes to the structure and presentation or fleet displays. Notable changes are defined as those where the change of objects results in a change to the informational content of the theme or sub-theme. Such documentation includes approved concept proposals, information that supports objects on display, eg. labels, design drawings, exhibition content lists, installation view photographs, audiovisual and interactive content, incoming loans, including those on long term display in core galleries, rights agreements and consolidated public reaction reports</li> <li>• minutes, agendas and papers of the organisation's program management committees including those relating to core gallery changeovers, concept development and events development, but excluding the strategic collection and exhibition committee comprising governing body representatives</li> <li>• VIP guest list, master invitations and visitor books for the opening of exhibitions and major events presented by the organisation</li> <li>• final strategic policies, such as those covering the development of major exhibitions, events and member and commemorative programs provided by the organisation</li> <li>• minutes, agendas and papers of maritime heritage and cultural related committees, such as the Maritime Archaeological Advisory Panel, where the organisation is the primary Commonwealth government representative</li> <li>• final reports relating to the extent and nature of media coverage for an exhibition/event</li> <li>• submissions to external organisations in relation to matters affecting the organisation's cultural programs</li> <li>• joint ventures, partnership agreements and the exchange of innovative ideas with other institutions in relation to the provision of cultural heritage programs</li> <li>• database that constitutes the Australian Register of Historical Vessels, including records documenting vessel registrations (strategic planning and committees covered above)</li> <li>• final documentation of commemorative programs, such as the Welcome Wall</li> <li>• applications, approvals, acquittal reports, final reports to the administering department and products created by grant recipients, such as publications promoting collections through financial assistance projects, eg. MMAPSS, USA Gallery Fellowship</li> </ul>	Retain as national archives

**NB:** class 20072 continues over the page



## PROGRAM MANAGEMENT

Entry	Description of records	Disposal action
20072 continued	<ul style="list-style-type: none"> <li>• final versions of unpublished presentations, including addresses and lectures, given in relation to maritime heritage, research and archaeology that contribute significantly to the community's understanding and appreciation in the field</li> <li>• formal requests and reports relating to the organisation's maritime archaeology program, including those documenting research, scientific study of underwater cultural heritage and related land-based sites, and the provision of expert advice and assistance to designated Australian government and overseas agencies on site management, assessment, documentation, conservation and interpretation</li> <li>• original research and digital or audiovisual productions supporting permanent exhibitions or temporary exhibitions initiated by the organisation, such as those which contain rare or unique accumulations of material on a topic or case, including oral history projects. Also includes responses to public enquiries where original research is generated.</li> </ul>	Retain as national archives
20073	<p>Records documenting the program management core business that relate to routine arrangements that contain a moderate level of risk for events produced or co-produced by the organisation. Includes:</p> <ul style="list-style-type: none"> <li>• routine incoming loan agreements, including application forms, written requests, approvals and routine condition reports on incoming loans</li> <li>• registration of participants for commemorative programs, such as the Welcome Wall.</li> </ul>	Destroy 20 years after last action
20074	<p>Records documenting the program management core business that relate to routine management or logistical matters, minor events produced by the organisation or events produced by other organisations. Includes:</p> <ul style="list-style-type: none"> <li>• operational policies and procedures, such as temporary and travelling exhibition policies and procedures and vessel operating procedures</li> <li>• final project documentation, such as schedules, outcome reports, agreements and correspondence, for minor events, such as school holiday and adult education programs, routine member events, participation in events or exhibitions produced by an external organisation or minor core gallery revisions/fit-outs</li> <li>• project budgets, exhibition material condition reports, and preparation and logistical arrangements (Commonwealth transportation of items) relating to major and minor events</li> <li>• program/event proposals that are not approved to proceed</li> </ul>	Destroy 7 years after last action

**NB:** Class 20074 continues over the page

## PROGRAM MANAGEMENT

Entry	Description of records	Disposal action
20074 continued	<ul style="list-style-type: none"> <li>• selection criteria, guidelines and committee minutes, acceptances, notices of termination relating to the disbursement of funds from financial assistance schemes, such as Maritime Museums Of Australia Project Support Scheme and USA Gallery Fellowship fund, managed by the organisation</li> <li>• plans, approvals and administrative arrangements for commemorative programs, such as the Welcome Wall</li> </ul> <p><i>For registration of commemorative programs, use PROGRAM MANAGEMENT – Class 20073.</i></p> <p><i>For final documentation of commemorative programs, use PROGRAM MANAGEMENT – Class 20072.</i></p> <ul style="list-style-type: none"> <li>• licences and approvals granted in relation to the provision of cultural and associated programs, including filming approvals, screening and music licences and vessel operation certification</li> <li>• crew contracts, itineraries and information packs relating to vessel voyaging programs, such as HMB Endeavour voyages</li> <li>• vessel safety surveys</li> <li>• liaison with external organisations regarding routine matters, such as future events and program activities</li> <li>• minutes, agendas and papers of maritime heritage and cultural related committees where the organisation is not the primary Commonwealth government representative</li> <li>• final versions of unpublished presentations, including addresses and lectures, given in relation to cultural, educational and family programs conducted by the organisation that do not significantly contribute to the community's understanding and appreciation in the field</li> <li>• Responses to public enquiries relating to the program management core business, including those where routine research is conducted from existing sources to generate responses to public enquiries and proposals for major events or exhibitions.</li> </ul>	Destroy 7 years after last action
20075	<p>Records documenting developmental work, routine requests, liaison and advice relating to the program management core business. Includes requests for information concerning events, advice provided to schools and community groups which does not involve detailed research and resources, and non-VIP guest lists and invitations for events. Also includes design drafts and similar program management working documentation.</p>	Destroy 2 years after last action