



**Australian Government**  
**National Archives of Australia**

# Records Authority

2013/00246960

## Australian Transport Safety Bureau

*International Relations  
Safety Education, Communication and Awareness  
Safety Investigation and Research  
Safety Notification, Assessment and Recording*

June 2013

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## INTRODUCTION

The Australian Transport Safety Bureau 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: International Relations; Safety Education, Communication and Awareness; Safety Investigation and Research; and Safety Notification, Assessment & Recording. It represents a significant commitment on behalf of the Australian Transport Safety Bureau 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 Transport Safety Bureau. 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.

The 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 Authority gives Australian Transport Safety Bureau 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, and are approved by the National Archives of Australia on the basis of information provided by the agency.

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.

## APPLICATION OF THIS AUTHORITY

1. This Authority replaces the following classes in Records Disposal Authority 2004/00616220 issued to the Department of Transport and Regional Services in 2005: 9573-9574, 9609 and 9612. These classes have been superseded and cannot be used after the date of issue of this Authority.

This authority partially supersedes the following classes in Records Disposal Authority 2004/00616220 issued to the Department of Transport and Regional Services in 2005: 9545-9572, 9577-9580, 9584-9589, 9591-9593 and 9597-9608. These classes cannot be used for Australian Transport Safety Bureau records after the date of issue of this Authority.

2. This 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 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 Authority;
- records that have not reached the minimum retention period must be kept until they do; and
- records that are identified as Retain as National Archives (RNA) are to be transferred to the National Archives of Australia for preservation.

3. This Authority should be used in conjunction with general records authorities such as:

- the Administrative Functions Disposal Authority (AFDA) and/or AFDA Express issued by the National Archives to cover business processes and records common to Australian Government agencies; and
- General Records Authority (31) For source (including original) records that have been copied, converted or migrated.

4. 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 Authority but can be used as a tool to assist in identifying records for destruction together with an agency's Records Authority or Authorities, and with AFDA and AFDA Express. 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).

5. 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.

6. 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 Authority is available from the National Archives website at [www.naa.gov.au](http://www.naa.gov.au).
7. 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 applied, providing the records document the same core business. The information must be accessible for the period of time prescribed in this Authority. The Australian Transport Safety Bureau will 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.
8. In general, retention requirements indicate a minimum period for retention. The Australian Transport Safety Bureau 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 Transport Safety Bureau believes that its accountability will be substantially compromised because a retention period or periods are not adequate, it should contact the National Archives for review of the retention period.
9. 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.
10. 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.
11. 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.
12. Advice on how to use this Authority is available from the Australian Transport Safety Bureau 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.

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

Tel: (02) 6212 3610  
Fax: (02) 6212 3989  
Email: [recordkeeping@naa.gov.au](mailto:recordkeeping@naa.gov.au)  
Website: [www.naa.gov.au](http://www.naa.gov.au)

# AUTHORISATION

RECORDS AUTHORITY 2013/00246960

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

Mr Martin Dolan  
Chief Commissioner  
Australian Transport Safety Bureau  
62 Northbourne Avenue  
Canberra ACT 2601

**Purpose:**

Authorises arrangements for the disposal of records in accordance with Section 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 core business records relating to: International Relations; Safety Education, Communication and Awareness; Safety Investigation and Research; and Safety Notification, Assessment & Recording.

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 with the consent of the agency currently responsible for the business documented in the records described.

**Authorised by**

David Fricker

Director-General  
National Archives of Australia

**Date of issue:**

17 June 2013

## INTERNATIONAL RELATIONS

The core business of collaborating internationally on transport safety matters. Includes maintaining and strengthening relationships and strategic alliances with key countries, regions and international agencies, providing assistance programs for other countries, the development of and involvement with global and regional partnerships, strategies, conventions and institutions, such as the International Civil Aviation Organization (ICAO) and International Maritime Organization (IMO).

Activities involved in this core business include:

- preparing and delivering addresses and presentations;
- receiving and providing advice;
- negotiating and establishing agreements;
- initiating, managing and participating in international conferences, committees, working groups and meetings;
- collaborating on the development and amendment of international standards, conventions and protocols;
- variations to compliance with international standards;
- liaising with stakeholders;
- developing and implementing internal policies and procedures;
- appointing representatives to international bodies;
- developing strategies and participating in programs for international co-operation, and Asia-Pacific regional capability. Includes mentoring and training programs;
- planning;
- reviewing and evaluating; and
- managing visits.

*For the development and amendment of Australian safety investigation standards, strategies and policies, use SAFETY INVESTIGATION AND RESEARCH.*

*For audits of the agency's safety investigation practices by international bodies, use SAFETY INVESTIGATION AND RESEARCH.*

*For conducting and assisting with international safety investigations in accordance with Australian legislation and the agency's obligations under international conventions, use SAFETY INVESTIGATION AND RESEARCH.*

*For safety education, communication and awareness activities within Australia, use SAFETY EDUCATION, COMMUNICATION AND AWARENESS.*

*For records of Board meetings, use GOVERNING BODIES.*

*For the development or amendment of legislation or legislative instruments specific to the operations of the agency, use STRATEGIC MANAGEMENT.*

# INTERNATIONAL RELATIONS

Class no	Description of records	Disposal action
61380	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• <u>advice</u> received and provided to the Minister, other agencies, foreign governments and their agencies and international organisations that impacts on the management of transport safety and relationships with other countries;</li> <li>• <u>addresses</u> and <u>presentations</u> made by the Minister, Commissioners or senior agency staff. Includes conference presentations;</li> <li>• <u>agreements</u> including memoranda of understanding, bilateral, cooperative and other formal agreements and contributions in the drafting of international agreements;</li> <li>• inter-governmental or inter-agency <u>committees</u>, <u>working groups</u> and external committees where the agency provides the Secretariat or is the lead Commonwealth Government agency;</li> <li>• final versions of minutes and supporting documents tabled at high level <u>meetings</u> with inter-government, inter-agency or international organisations;</li> <li>• major agency contributions to the development and amendment of <u>standards</u> and other international safety investigation conventions and protocols;</li> <li>• final reports of significant international activities, including co-operative <u>program reports</u> and <u>overseas visit reports</u>;</li> <li>• final version of international cooperation <u>strategies</u>; and</li> <li>• official final reports of international <u>conferences</u> arranged by the agency.</li> </ul>	Retain as national archives
61381	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• variations to <u>compliance</u> with standards and frameworks, such as those filed with the International Civil Aviation Organisation (ICAO). Includes notifications of differences.</li> </ul>	Destroy 25 years after action completed
61382	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• development of internal <u>policies</u> and <u>procedures</u>, and <u>addresses</u> and <u>presentations</u>;</li> <li>• administrative arrangements such as those made for international <u>conferences</u>, <u>committees</u>, <u>meetings</u>, <u>visits</u>, etc. Includes venue and catering bookings.</li> </ul>	Destroy 3 years after action completed
61383	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• routine operational and administrative tasks supporting the core business;</li> <li>• international relations activities and tasks other than those covered in classes 61380, 61381 and 61382.</li> </ul>	Destroy 7 years after action completed

## SAFETY EDUCATION, COMMUNICATION AND AWARENESS

The core business of raising awareness and understanding in relation to transport safety matters. Involves a range of activities including consultation, education, stakeholder management and the promotion and publication of research and investigation findings and recommendations.

Activities involved in this core business include:

- providing and receiving advice;
- developing and delivering addresses and presentations;
- establishing and managing agreements;
- managing and participating in education and awareness-related committees and working groups;
- planning and managing events;
- planning stakeholder management activities;
- surveying and consulting with internal and external stakeholders; and
- developing and reviewing educational resources and communication material.

The performance of the core business is supported by routine administrative tasks such as:

- arranging presentations, promotional events and conferences hosted by the agency;
- routine liaison with stakeholders;
- receiving and responding to general enquiries;
- developing and reviewing internal policies and procedures; and
- managing meetings.

*For research and analysis in relation to safety matters, use SAFETY INVESTIGATION AND RESEARCH.*

*For international mentoring and training programs, use INTERNATIONAL RELATIONS.*

*For the development and delivery of accredited safety investigation training, use ACCREDITED TRAINING.*

*For marketing agency services, media releases and interviews, and for handling public reaction to agency functions or services, use COMMUNITY RELATIONS.*

*For the agency's annual reporting requirements, use GOVERNMENT RELATIONS.*

*For the issue, receipt and assessment of tenders and the management of the performance of external service providers, such as consultants, use PROCUREMENT.*

*For the production and distribution of published material on the agency's website or hard copy form, use PUBLICATION.*

*For the development, maintenance and management of the agency's website and databases and the provision of online tools to external parties, use TECHNOLOGY & TELECOMMUNICATIONS.*

*For records of Board meetings, use GOVERNING BODIES.*

## SAFETY EDUCATION, COMMUNICATION AND AWARENESS

Class no	Description of records	Disposal action
61384	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• high level <u>advice</u>, briefings, reports and strategies such as those provided to the Minister and other government agencies in relation to safety education, communication and awareness matters. Includes final community, industry consultation and survey reports;</li> <li>• <u>addresses</u> and <u>presentations</u> made by the Minister, Commissioners and senior agency staff;</li> <li>• safety education and awareness <u>policies</u>; and</li> <li>• inter-government, inter-agency and industry <u>committees</u> and <u>working groups</u> where the agency provides the Secretariat or is the main Commonwealth Government representative.</li> </ul>	Retain as national archives
61385	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• <u>liaison</u> and <u>consultation</u> with government and non-government stakeholders, which does not result in alliances or partnerships. Includes survey instruments, completed questionnaires and responses;</li> <li>• arranging <u>events</u>, <u>conferences</u> or other initiatives hosted by the agency;</li> <li>• developing and reviewing <u>educational material</u>;</li> <li>• developing and reviewing the agency's <u>procedures</u> and <u>guidelines</u>; and</li> <li>• receiving and responding to general <u>enquiries</u>.</li> </ul>	Destroy 3 years after action completed
61386	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• routine operational and administrative tasks supporting the core business;</li> <li>• safety education, communication and awareness activities and tasks other than those covered in classes 61384 and 61385.</li> </ul>	Destroy 7 years after action completed

## SAFETY INVESTIGATION AND RESEARCH

The core business of investigating civil aviation, marine and rail accidents and other transport safety occurrences in Australia that fall within the agency's jurisdiction, and participating in overseas investigations, in accordance with Australian legislation and the agency's obligations under international conventions. Also includes carrying out investigation, research and analysis projects to identify safety accident trends and patterns and recommending safety improvements, and providing support at inquiries and inquests such as acting as expert witnesses.

Activities involved in this core business include:

- undertaking or participating in safety investigations;
- undertaking or commissioning research and analysis projects;
- accident site co-ordination and protection;
- appearing as expert witnesses at inquiries or inquests;
- receipt and provision of advice and briefings;
- liaising with stakeholders;
- managing investigation observers and participants;
- contributing to Australian safety investigation policy, and standards development and amendment;
- participating in and managing investigation-related committees, meetings and working groups;
- compliance audits of the agency's safety investigation practices;
- establishing and managing agreements;
- contingency planning and participating in accident response and recovery exercises;
- managing approvals and authorisations, including delegating authority under transport safety investigation legislation;
- disclosure of investigator conflicts of interest in relation to specific transport investigations;
- managing specialised technical equipment and facilities used in investigations; and
- developing and managing associated policies, procedures, manuals, guidelines, and other instructional tools.

The performance of the core business is also supported by routine administrative tasks such as:

- planning;
- reviewing and evaluating.

*For notifications and confidential reports relating to a safety matter, use SAFETY NOTIFICATION, ASSESSMENT AND RECORDING.*

*For the development and delivery of accredited safety investigation training, use ACCREDITED TRAINING.*

*For engagement with international stakeholders that does not relate to the agency undertaking an investigation in accordance with Australian legislation or the agency's obligations under international conventions, use INTERNATIONAL RELATIONS.*

*For educational material and agency addresses and presentations provided for Australian stakeholders, use SAFETY EDUCATION, COMMUNICATION AND AWARENESS.*

*For participation in the development and amendment of international standards, and the notification of differences to the standards, use INTERNATIONAL RELATIONS.*

*For media releases and interviews, use COMMUNITY RELATIONS.*

# SAFETY INVESTIGATION AND RESEARCH

*For the in-house construction of routine equipment and plant, use PROCUREMENT.*

*For the maintenance and disposal of equipment, use EQUIPMENT & STORES.*

*For safety issues at accident sites, use OCCUPATIONAL HEALTH & SAFETY.*

*For compensation of workers injured carrying out safety investigation and research, use COMPENSATION.*

*For the production and distribution of published investigation material, use PUBLICATION.*

*For the development or amendment of legislation or legislative instruments specific to the operations of the agency, use STRATEGIC MANAGEMENT.*

*For the provision of grant funding to external parties to undertake projects such as safety investigations research, use GRANT MANAGEMENT.*

*For records of Board meetings, use GOVERNING BODIES.*

Class no	Description of records	Disposal action
61387	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• high level <u>advice</u>, <u>briefings</u>, reports and strategies including those provided to the Minister and other government agencies in relation to safety investigation matters, such as recommendations for changes to Australian safety <u>policy</u>, <u>legislation</u> and <u>standards</u>;</li> <li>• <u>agreements</u> with major liability and responsibility implications or obligations that require execution by the head of the executive, governing body or involve the Minister. Includes memoranda of understanding with other organisations and external investigator agreements;</li> <li>• information collected in relation to investigations and which was referenced to support findings or to assist with the identification and treatment of safety factors, the elimination of other lines of enquiry, and the treatment of safety issues. Includes: witness statements; background material; interview transcripts; communications with stakeholders; audiovisual and data recordings;</li> <li>• <u>evidence</u> prepared, presented and received in relation to agency personnel appearing as <u>expert witnesses</u> at inquiries or inquests;</li> <li>• <u>summary records</u> of investigations such as registers;</li> <li>• limited-scope factual gathering investigations (also known as 'short' investigations);</li> <li>• <u>submissions</u> from directly involved and other parties;</li> <li>• safety <u>actions</u>, <u>recommendations</u> and <u>responses</u>;</li> <li>• final reports and supporting data of <u>research and analysis projects</u> that are undertaken to identify safety trends and patterns;</li> <li>• safety investigation and research datasets and associated information about data fields for example data dictionaries;</li> <li>• agency contributions to the development of safety <u>standards</u>;</li> <li>• inter-government, inter-agency and industry <u>committees</u> and <u>working groups</u> where the agency provides the Secretariat, takes a lead role or is</li> </ul>	Retain as national archives

## SAFETY INVESTIGATION AND RESEARCH

Class no	Description of records	Disposal action
	<p>the main Commonwealth Government representative;</p> <ul style="list-style-type: none"> <li>• the in-house construction of specialist, innovative or unique investigation <u>equipment and facilities</u> such as materials and flight recorder laboratories and systems. Includes design and as-built drawings; and</li> <li>• master set of internal <u>policies</u> and <u>procedures</u>, including detailed manuals.</li> </ul>	
61388	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• safety investigation <u>delegations of authority</u>;</li> <li>• major occurrence <u>contingency plans</u> developed by the agency. Includes planning incident response and recovery;</li> <li>• the <u>return of items</u> that have been collected /seized at an accident site. Includes file notes and correspondence recording the return of the items;</li> <li>• <u>agreements</u> under seal, excluding any covered by class 61387; and</li> <li>• final reports of investigation practice <u>audits</u>, such as those undertaken by international bodies.</li> </ul>	Destroy 25 years after action completed
61389	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• routine operational and administrative tasks supporting the core business, such as liaison that does not support investigation findings;</li> <li>• safety investigation and research activities and tasks other than those covered in classes 61387 and 61388.</li> </ul>	Destroy 7 years after action completed

## SAFETY NOTIFICATION, ASSESSMENT & RECORDING

The core business of receiving, assessing and classifying transport accident and other safety occurrence notifications, and managing confidential reporting of general or specific safety concerns received from any person.

Activities involved in this core business include:

- receiving, assessing and recording notifications of transport safety occurrences;
- managing confidential reporting;
- referring and assisting external enforcement action;
- receipt and provision of advice, briefings and reports, including data reports provided in accordance with legislative obligations and international requirements;
- liaising with stakeholders;
- participating in and managing committees, meetings and working groups;
- contributing to Australian transport safety legislation, policy and standards development and amendment;
- compliance with standards and auditing of practices;
- developing and promulgating associated policies, procedures, guidelines, and other instructional tools; and
- receiving and responding to general enquiries regarding occurrences, including requests for information from flight crew.

The performance of this core business is supported by routine administrative tasks such as:

- planning;
- reviewing and evaluating.

*For the investigation, research and analysis of safety matters, including Australian government inter-agency agreements, use SAFETY INVESTIGATION AND RESEARCH.*

*For international agreements and for participation in the development and amendment of international standards, use INTERNATIONAL RELATIONS.*

*For other government agreements and notifications from the Minister concerning the strategic direction of the agency, use GOVERNMENT RELATIONS.*

*For the development or amendment of legislation or legislative instruments specific to the operations of the agency, use STRATEGIC MANAGEMENT.*

*For the development and delivery of accredited safety investigation training, use ACCREDITED TRAINING.*

*For addresses, speeches and presentations use SAFETY EDUCATION, COMMUNICATION AND AWARENESS.*

*For media releases and interviews, use COMMUNITY RELATIONS.*

*For records of Board meetings, use GOVERNING BODIES.*

# SAFETY NOTIFICATION, ASSESSMENT & RECORDING

Class no	Description of records	Disposal action
61390	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• <u>notifications</u> assessed as requiring investigation;</li> <li>• de-identified versions of confidential <u>reports</u> that were accepted by the agency;</li> <li>• summary datasets of notifications, confidential reports, assessments (including risk assessments) and classifications, and associated information about data fields for example data dictionaries;</li> <li>• accident/ incident <u>registers</u>;</li> <li>• reports of <u>audits</u> that resulted in major changes to practices;</li> <li>• <u>advice</u> provided for national policies and legislation;</li> <li>• contributions to safety notification, assessment and recording <u>standards</u>;</li> <li>• inter-governmental or inter-agency <u>committees</u>, <u>working groups</u> and external committees where the agency provides the Secretariat or is the lead Australian (Commonwealth) Government agency; and</li> <li>• master set of safety notification, assessment and data recording <u>policies</u> (including risk policy) and <u>procedures</u>. Includes detailed manuals.</li> </ul>	Retain as national archives
61391	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• <u>notifications</u> assessed as not requiring investigation; and</li> <li>• <u>referring and assisting with enforcement action</u> undertaken by external bodies, including appearing as expert witnesses.</li> </ul>	Destroy 25 years after action completed
61392	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• <u>confidential reports</u> that include personal identification information and are not the subject of a possible criminal offence by the reporter. Includes accepted and unaccepted reports.</li> </ul>	Destroy or return after action completed.
61393	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• <u>confidential reports</u> that include personal identification information and are the subject of a possible criminal offence by the reporter. Includes accepted and unaccepted reports.</li> </ul>	Destroy or return to reporter, or other relevant persons, 2 years after action completed
61394	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• routine operational and administrative tasks supporting the core business;</li> <li>• safety notification, assessment and recording activities and tasks other than those covered in classes 61390 to 61393.</li> </ul>	Destroy 7 years after action completed