



**Australian Government**



**NATIONAL  
ARCHIVES  
OF AUSTRALIA**

**Records Authority**

2013/00292349

## **Climate Change**

*Climate Change Adaptation, Climate Change Mitigation,  
Climate Change International Engagement, Climate  
Change Program Funding Administration, Climate  
Change Regulatory Administration*

2013

## CHANGE HISTORY

### Dates and Changes

Each entry in this table has been authorised under the *Archives Act 1983*.

Date	Changes
<b>8 - December - 2013</b>	2013/00292349 issued to the Department of Industry, Department of Environment and Department of Foreign Affairs. Covering the core business areas of: <ul style="list-style-type: none"> <li>• CLIMATE CHANGE ADAPTATION</li> <li>• CLIMATE CHANGE MITIGATION</li> <li>• CLIMATE CHANGE INTERNATIONAL ENGAGEMENT</li> <li>• CLIMATE CHANGE PROGRAM FUNDING ADMINISTRATION</li> <li>• CLIMATE CHANGE REGULATORY ADMINISTRATION</li> </ul>
<b>5 - February - 2016</b>	2015/00366284 issued to Clean Energy Regulator has resulted in the following change: <ul style="list-style-type: none"> <li>• SCHEME REGULATION AND MANAGEMENT – class 61943 replaced class 61455 in 2013/00292349.</li> </ul> Other consequential changes to 2013/00292349 include: addition of application note 1 explaining the removal of class 61455 and amendment to the class description of 61456 to remove reference to replaced class 61455.

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## INTRODUCTION

The National Archives of Australia has developed this Records Authority in consultation with the Department of Industry, the Department of Environment and the Department of Foreign Affairs and Trade. The Records Authority sets out the requirements for keeping or destroying records for the business areas of Climate Change Adaptation, Climate Change Mitigation, Climate Change International Engagement, Climate Change Program Funding Administration, and Climate Change Regulatory Administration.

This Authority is based on the identification and analysis of the Commonwealth Government's response to climate change. It takes into account legal and organisational requirements, and the interests of stakeholders, the agencies 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 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, the periodic review of this Authority is recommended. All amendments must be approved by the National Archives.

## APPLICATION OF THIS AUTHORITY

1. Record Authority 2015/00366284, Class 61943, has superseded Class 61455 from this record authority. Class 61455 has been removed from this record authority and cannot be used after the date of issue of 2015/00366284.
2. This Authority is to be used to determine how long records must be kept. Records are matched to the relevant business area 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.
  - 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:
  - AFDA Express which covers administrative business processes and records common to many Australian Government agencies;
  - General Records Authority (31) for source (including original) records that have been copied, converted or migrated.
  - The Authority is issued to two agencies. Other relevant agencies can apply to the National Archives to use the Authority.
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 records authorities but can be used to destroy very low value records. 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 business area. The information must be accessible for the period of time prescribed in this Authority. The Department of Environment and the Department of Industry 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. An agency 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 an agency believes that its accountability will be substantially compromised because a retention period or periods are not adequate, they 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 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 the National Archives' Agency Service Centre.

Queen Victoria Terrace

Parkes ACT 2600

PO Box 7425

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Tel: (02) 6212 3610

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

# AUTHORISATION

## RECORDS AUTHORITY 2013/00292349

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

Dr Gordon de Brouwer  
Secretary  
Department of Environment

Glenys Beauchamp  
Secretary  
Department of Industry

Peter Varghese  
Secretary  
Department of Foreign Affairs

**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 Climate Change Adaptation, Climate Change Mitigation, Climate Change International Engagement, Climate Change Program Funding Administration, and Climate Change Regulatory Administration.

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**

Len Marsden  
Acting Director-General  
National Archives of Australia

**Date of issue:**

8 December 2013

## CLIMATE CHANGE ADAPTATION

The core business of designing, developing and implementing the government's strategic policy framework and reform efforts for climate change adaptation and advancement of science based research. Climate change adaptation is the process by which strategies to moderate, cope with, and take advantage of the consequences of climatic events are enhanced, developed and implemented by government to reduce the impact of climate stresses on human and natural systems. It includes partnering, coordinating and collaborating with stakeholders at national, regional and local levels to design, develop, monitor and review adaptation plans, programs, measures, research resources, modelling tools and risk assessment activities. Also includes providing policy advice to government, such as through the preparation of the Climate Futures Report.

The **core tasks** associated with climate change adaptation include:

- developing, implementing and reviewing national and high-level policies, frameworks, strategies, standards and plans, including national and high-level implementation and action plans;
- designing, developing and establishing climate change adaptation programs and projects;
- implementing climate change adaptation programs and projects that do not involve provision of funding;
- liaising and collaborating with other Australian government agencies, industry and the community, including undertaking joint ventures;
- providing and receiving advice, including providing briefings, position papers and whole-of-government strategic analysis;
- negotiating, establishing and reviewing agreements and contracts;
- undertaking research and analysis;
- developing and applying models for analysing national and regional vulnerability and responses to climate change, including sponsoring professional advisors to undertake major national vulnerability assessments;
- developing and promoting tools to assist external stakeholders and decision makers;
- developing and monitoring evaluation components and arrangements for review and reporting against national implementation and action plans;
- promoting the Government's vision for adapting to the impacts of climate change, including developing and implementing communications strategies to raise awareness of climate change impacts; and
- arranging and attending conferences, seminars, workshops and discussion forums.

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

- developing and implementing operational policies and procedures;
- planning and reporting;
- receiving and responding to enquiries;
- evaluating and reviewing systems, services and products;
- preparing and presenting speeches and addresses;
- arranging trips and visits;
- planning, conducting and facilitating internal and external audits;
- managing and participating in internal and external committees, meetings and other forums;
- identifying, assessing and managing risk; and
- delegating powers and authorising actions.

### Cross references

*For implementing climate change adaptation programs, projects and services involving the provision of funding, including administering funding through grants, sponsorships, subsidies and rebates, and managing appeals and reviewing decisions, use CLIMATE CHANGE PROGRAM FUNDING ADMINISTRATION.*

## CLIMATE CHANGE ADAPTATION

*For implementing compliance and enforcement, including inspections and investigations, in relation to adaptation programs, projects and services, use CLIMATE CHANGE PROGRAM FUNDING ADMINISTRATION or CLIMATE CHANGE REGULATORY ADMINISTRATION.*

*For policies and programs to reduce the extent of Australia's contribution to climate change, use CLIMATE CHANGE MITIGATION.*

*For international collaboration or representing the Australian Government on international bilateral climate change adaptation forums, use CLIMATE CHANGE INTERNATIONAL ENGAGEMENT.*

*For media releases, use COMMUNITY RELATIONS and/or GOVERNMENT RELATIONS.*

*For development of new legislation and amendments to existing legislation, use GOVERNMENT RELATIONS and/or STRATEGIC MANAGEMENT.*

*For advice, briefs and submissions to the portfolio Minister, cabinet submissions, and the organisation's participation in formal inquiries, use GOVERNMENT RELATIONS.*

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

Class no	Description of records	Disposal action
61445	<p>The following <b>significant records</b> documenting:</p> <ul style="list-style-type: none"> <li>• developing, implementing and reviewing national and high-level policies, frameworks, standards and strategies, including the National Climate Change Adaptation Framework and National Framework for Climate Change Science. Includes final versions, feasibility studies, cost-benefit analysis, discussion papers, risk assessments and supporting research;</li> <li>• developing, implementing and reviewing national and high-level plans supporting climate change adaptation, including high-level internal plans, national implementation and action plans (eg Climate Change Action Plan for the Great Barrier Reef) and management plans for Australia's World Heritage properties. Includes final versions, stakeholder consultations, recommendations and research reports;</li> <li>• conducting major national and regional vulnerability assessments. Includes final reports, major drafts, maps, risk assessments, milestone reports, projections, modelling and supporting research;</li> </ul> <p><i>[For administration of sponsorship requests in relation to the national vulnerability assessment program, including application determinations, use CLIMATE CHANGE PROGRAM FUNDING ADMINISTRATION]</i></p> <ul style="list-style-type: none"> <li>• major research and analysis, including final versions of economic, impact and technical models. Includes final research reports, research findings, multi-disciplinary and risk assessments, statistical trends, projections, data models and research datasets and associated information;</li> <li>• providing and receiving high-level advice, including providing policy advice to government. Includes position papers, briefs, opinions, reports, submissions and whole-of-government strategic analysis;</li> <li>• high-level internal and external committees, councils or other bodies where the agency is the Australian Government's main representative, provides the secretariat role or plays a substantial role in deliberations (eg Multi-Party Climate Change Committee). Includes establishment documentation, agenda, minutes, reports and tabled papers;</li> <li>• developing national and high-level reports (eg Climate Futures Report). Includes final versions, stakeholder consultation, supporting research and evaluation components for monitoring implementation;</li> </ul>	Retain as national archives



## CLIMATE CHANGE ADAPTATION

Class no	Description of records	Disposal action
	<ul style="list-style-type: none"> <li>• final versions of speeches and addresses presented by the portfolio Minister or senior agency staff;</li> <li>• national and high-level reviews, including major internal reviews. Includes final review reports, major drafts, recommendations, stakeholder consultations, submissions and supporting research;</li> <li>• final versions of marketing and educational material for major campaigns that promote policies, programs and projects, or that raise awareness of national climate change impacts. Includes final versions of high-level communication strategies;</li> <li>• master versions of agency publications produced to support climate change adaptation. Includes information sheets;</li> </ul> <p><i>[For the production and distribution of agency publications, use PUBLICATION.]</i></p> <ul style="list-style-type: none"> <li>• final versions of climate change adaptation planning tools, such as risk management guides, videos, web based tools, economic instruments, and inundation and visualisation tools; and</li> <li>• final versions of unpublished proceedings, reports, speeches and papers from climate change adaptation related conferences, seminars and workshops hosted by the agency (eg National Climate Change Forum).</li> </ul> <p>The following <b>significant records</b> of activities that either: are precedent setting; ground-breaking or innovative; prominent, controversial or attract considerable official or public interest; will potentially have a substantial social, economic, political or environmental impact; represent a significant contribution to the existing body of knowledge; result in changes or have considerable implications for Government or agency policies or programs; result in changes to legislation; or have national or international implications:</p> <ul style="list-style-type: none"> <li>• designing, developing and establishing climate change adaptation programs and projects, including joint ventures and funded research projects (eg Australian Climate Change Science Program). Includes project outcomes, project plans, research findings, progress reports, risk analysis reports, agreements and stakeholder consultations;</li> <li>• implementing climate change adaptation programs and projects (including joint ventures) that do not involve the provision of funding. Includes project outcomes, project plans, research findings, progress reports, agreements and risk analysis reports; and</li> <li>• final versions of significant agreements and contracts and supporting documents, including all those that relate to substantial funding arrangements with other governments, agencies and organisations (eg Clean Energy Agreement). Includes national partnership and bilateral agreements, joint venture agreements, Memorandums of Understanding and formal collaboration arrangements.</li> </ul>	
61446	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• <b>routine operational administrative tasks</b> supporting the core business; and</li> <li>• <b>climate change adaptation activities, other than those covered in class 61445.</b></li> </ul>	Destroy 10 years after action completed

## CLIMATE CHANGE MITIGATION

The core business of designing and developing government reform initiatives, legislation, policies and programs to mitigate Australia's greenhouse gas emissions and sources, and enhance greenhouse gas sinks. Climate change mitigation involves the government's response to reduce the extent of Australia's contribution to climate change. Includes developing and submitting annual emission inventories and national reports to the United Nations Framework Convention on Climate Change (UNCCC) in accordance with the Kyoto Protocol Treaty commitment, and monitoring and reporting on the expanded national Renewable Energy Target (RET) scheme. Also includes designing offset project mechanisms to reward householders, landholders, farmers and others who take action to reduce carbon pollution.

The **core tasks** associated with climate change mitigation include:

- developing, implementing and reviewing national and high-level policies, legislative instruments, frameworks, standards, schemes, strategies, methodologies, measures and mechanisms;
- designing, developing and establishing climate change mitigation programs and projects;
- implementing climate change mitigation programs and projects that do not involve the provision of funding;
- liaising, consulting and engaging with Australian government agencies, industry and other stakeholders;
- providing and receiving advice, including policy and technical advice to the portfolio Minister, agencies and other stakeholders;
- planning, developing and delivering marketing, outreach, education, and training programs and campaigns to promote policies, programs and projects, or raise awareness of national climate change impacts;
- undertaking research and analysis;
- developing and applying economic, impact and/or technical models or prototypes;
- negotiating, establishing and reviewing agreements and contracts;
- monitoring, evaluating, and reviewing strategic performance targets, programs and measures;
- submitting national and domestic emission inventories and reports to high-level international bodies; and
- deriving data from other stakeholders to produce Australia's national inventory for reporting domestic and international emissions in accordance with the Kyoto Protocol.

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

- developing and implementing operational policies and procedures;
- planning and reporting, and developing submissions;
- preparing and presenting speeches and addresses;
- evaluating and reviewing systems, processes and products;
- receiving and responding to enquiries;
- planning, conducting and facilitating internal and external audits;
- identifying, assessing and managing risk;
- managing and participating in internal and external committees, councils and meetings;
- arranging and attending conferences, seminars, workshops and discussion forums; and
- delegating powers and authorising actions.

### Cross references

*For implementing climate change mitigation programs, projects and services involving the provision of funding, including administering funding through grants, sponsorships, subsidies and rebates, and managing appeals and reviewing decisions, use CLIMATE CHANGE PROGRAM FUNDING ADMINISTRATION.*

*For implementing compliance and enforcement, including inspections and investigations, in relation to mitigation programs, projects and services, use CLIMATE CHANGE PROGRAM FUNDING ADMINISTRATION or CLIMATE CHANGE REGULATORY ADMINISTRATION.*

## CLIMATE CHANGE MITIGATION

*For policies and programs to moderate, cope with, and take advantage of the consequences of climate change, use CLIMATE CHANGE ADAPTATION.*

*For establishing and administering Australia's Designated National Authority (DNA) and Designated Focal Point (DFP), including processing applications from Australian entities to participate in Kyoto offset projects, use CLIMATE CHANGE REGULATORY ADMINISTRATION.*

*For developing and implementing international policy and programs, such as programs to monitor global forest carbon emissions, use CLIMATE CHANGE INTERNATIONAL ENGAGEMENT.*

*For establishing and maintaining statutory registers, use CLIMATE CHANGE REGULATORY ADMINISTRATION.*

*For media releases, use COMMUNITY RELATIONS and/or GOVERNMENT RELATIONS.*

*For development of new legislation and amendments to existing legislation, use GOVERNMENT RELATIONS and/or STRATEGIC MANAGEMENT.*

*For advice, briefs and submissions to the portfolio Minister, cabinet submissions, and the organisation's participation in formal inquiries, use GOVERNMENT RELATIONS.*

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

Class no	Description of records	Disposal action
61447	<p>The following <b>significant records</b> documenting:</p> <ul style="list-style-type: none"> <li>• developing, implementing and reviewing national and high-level policies, legislative instruments, plans, schemes, frameworks, methodologies, mechanisms and strategies. Includes the Renewable Energy Target Scheme and Coal Sector Adjustment Scheme. Includes final versions, proposals, discussion and issues papers, research reports, submissions, major drafts and methodologies for assessing high-level policy options;</li> <li>• developing and reviewing standards, including the National Carbon Offset Standard. Includes final versions, major drafts and supporting research;</li> <li>• providing and receiving high-level advice, including providing policy advice to government. Includes final version of advice, position and discussion papers, briefings, opinions, submissions and whole-of-government strategic analysis;</li> <li>• high-level internal and external committees, councils and other bodies where the agency is the Australian Government's main representative, provides the secretariat role or plays a substantial role in deliberations (eg Multi-Party Climate Change Committee). Includes establishment documentation, agenda, minutes, reports, briefs and tabled papers.</li> <li>• development of national and high-level reports, including final submissions of national and international emission inventories and reports to high-level international bodies (eg National Inventory Reports). Includes final versions, major drafts and supporting research;</li> <li>• national and high-level reviews, including major internal evaluations and reviews (eg Garnaut Climate Change Review). Includes final reports, stakeholder consultations, submissions and supporting research;</li> <li>• summary records (including registers) of national greenhouse gas or carbon emissions reporting, such as the National Carbon Accounting System, Australian Greenhouse Emissions Information System and national inventory digital systems. Includes derived data for use in other material such as spatial data and statutory registers, and supporting system documentation;</li> </ul>	Retain as national archives

## CLIMATE CHANGE MITIGATION

Class no	Description of records	Disposal action
	<ul style="list-style-type: none"> <li>• surveillance and monitoring of emissions trading, climate change mitigation measures and the carbon market. Includes final reports, statistical analysis and datasets and associated information;</li> <li>• major research and analysis, including final versions of economic, impact and technical models or prototypes. Includes final research reports, research findings, statistical trends and analysis and data models (eg Full Carbon Accounting Model);</li> <li>• final versions of speeches and addresses presented by the portfolio Minister or senior agency staff;</li> <li>• master versions of agency publications produced to support climate change mitigation. Includes the National Carbon Accounting Toolbox;</li> </ul> <p><i>[For the production and distribution of agency publications, use PUBLICATION.]</i></p> <ul style="list-style-type: none"> <li>• final versions of marketing and educational material for major campaigns that promote policies, programs and projects, or raise awareness of national climate change impacts; and</li> <li>• final versions of unpublished proceedings, reports, speeches and papers from climate change mitigation related conferences, seminars and workshops hosted by the agency.</li> </ul> <p>The following <b>significant records</b> of activities that either: are precedent setting; ground-breaking or innovative; prominent, controversial or attract considerable official or public interest; will potentially have a substantial social, economic, political or environmental impact; represent a significant contribution to the existing body of knowledge; result in changes or have considerable implications for Government or agency policies or programs; result in changes to legislation; or have national or international implications:</p> <ul style="list-style-type: none"> <li>• designing, developing and establishing climate change mitigation programs and projects (eg National Carbon Offset Standard Carbon Neutral Program). Includes projects undertaken as joint ventures and offset project mechanisms. Includes project plans, research findings, progress reports, agreements, risk analysis and project outcomes;</li> <li>• implementing climate change mitigation programs and projects that do not involve the provision of funding. Includes projects undertaken as joint ventures. Includes project plans, research findings, progress reports, agreements, risk analysis reports and project outcomes; and</li> <li>• final versions of significant agreements and contracts and supporting documents, including all those that relate to substantial funding arrangements with other governments, agencies and organisations. Includes national partnership and bilateral agreements, joint venture agreements, Memorandums of Understanding and formal collaboration arrangements.</li> </ul>	
61448	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• <b>routine operational administrative tasks</b> supporting the core business; and</li> <li>• <b>climate change mitigation activities, other than those covered in class 61447.</b></li> </ul>	Destroy 10 years after action completed

## CLIMATE CHANGE INTERNATIONAL ENGAGEMENT

The core business of influencing the creation of a global climate change solution by developing, negotiating, implementing and advocating high-level policy frameworks and strategies aimed at shaping international engagement, agreement and action with corresponding global government bodies. Includes providing strategic policy advice on Australia's approach to international climate change issues; advocacy and prosecution of Australian interests within international forums and advisory groups; monitoring international market developments; and negotiating and establishing partnership agreements. International forums include the United Nations Framework Convention on Climate Change (UNFCCC), Major Economies Forum on Energy and Climate, G20 and other multilateral groupings, the United Nations Secretary General's High Level Advisory Group on Financing, and the Cartagena Group of progressive countries.

The **core tasks** associated with international engagement include:

- developing, implementing and reviewing high-level policies, proposals, negotiation and policy positions, statements, frameworks, strategies, and mechanisms supporting Australia's international engagement in relation to global climate change issues and solutions;
- designing, developing and establishing programs and projects to support international engagement, such as the Bilateral Climate Change Partnerships Program. Includes collaboration on bilateral projects and activities under international programs (eg demonstration projects in developing countries);
- implementing international engagement programs and projects that do not involve the provision of funding;
- providing and receiving advice in relation to international engagement on global climate change issues;
- monitoring international climate change issues and market developments;
- undertaking economic and technical research and analysis relating to global climate change science;
- negotiating, establishing and reviewing agreements, including bilateral agreements with other nations and partnership agreements with other Australian Government agencies to implement government initiatives;
- advocacy and prosecution of Australian Government policy positions at the UNFCCC negotiation sessions and other forums, such as the Umbrella Group;
- developing and managing international relationships with key partner countries and other stakeholders, including hosting and attending high-level international committees and meetings;
- developing and submitting formal high-level proposals and submissions to international bodies and forums, governments, agencies and other organisations, on Australia's policy positions; and
- liaising with Australian Government agencies and other stakeholders in relation to international engagement policy, strategy and program development.

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

- developing and implementing operational policies and procedures;
- arranging trips and visits;
- arranging and attending conferences, seminars, workshops and discussion forums;
- preparing and presenting speeches and addresses;
- delegating powers and authorising actions;
- planning, conducting and facilitating internal and external audits;
- managing and participating in routine internal committees and meetings;
- planning and reporting;
- evaluating and reviewing; and
- identifying, assessing and managing risks.

### Cross references

*For submitting annual emission inventories and national reports to the UNFCCC in accordance with the Kyoto Protocol Treaty commitment, use CLIMATE CHANGE MITIGATION.*

## CLIMATE CHANGE INTERNATIONAL ENGAGEMENT

*For implementing international engagement programs, projects and services involving the provision of funding, including administering funding through grants, sponsorships, subsidies and rebates, and managing appeals and reviewing decisions, use CLIMATE CHANGE PROGRAM FUNDING ADMINISTRATION.*

*For establishing, updating and maintaining statutory registers, use CLIMATE CHANGE REGULATORY ADMINISTRATION.*

*For legal advice on international climate law matters, use LEGAL SERVICES.*

*For training staff, use STAFF DEVELOPMENT.*

*For media releases, use COMMUNITY RELATIONS and/or GOVERNMENT RELATIONS.*

*For development of new legislation and amendments to existing legislation, use GOVERNMENT RELATIONS and/or STRATEGIC MANAGEMENT.*

*For advice, briefs and submissions to the portfolio Minister, cabinet submissions, and the organisation's participation in formal inquiries, use GOVERNMENT RELATIONS.*

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

Class no	Description of records	Disposal action
61449	<p>The following <b>significant records</b> documenting:</p> <ul style="list-style-type: none"> <li>• developing, implementing and reviewing national and high-level policies, frameworks, proposals, negotiation and policy positions, plans, mechanisms and strategies supporting Australia's international engagement in relation to global climate change. Includes final versions, major drafts, briefings, position and discussion papers, submissions, policy statements, stakeholder consultations, risk assessments, recommendations and supporting research;</li> <li>• providing and receiving high-level advice on global climate change issues, including providing policy advice to government and supporting negotiating positions at international forums. Includes position papers, briefings, opinions and whole-of-government strategic analysis;</li> <li>• high-level internal and external committees, councils, forums and other bodies where the agency is the Australian Government's main representative, provides the secretariat or plays a substantial role in deliberations. Includes establishment documentation, agenda, minutes, briefs, reports, tabled papers and delegate appointments;</li> <li>• developing national and high-level reports. Includes final versions, stakeholder consultation and supporting research;</li> <li>• formal high-level proposals and submissions to international bodies, such as the UNFCCC, and other stakeholders to support and promote Australia's position on global climate change science. Includes joint submissions with other nations. Includes final submission, stakeholder consultation and negotiation, and supporting research;</li> <li>• high-level authorisations and delegations of power including authorising staff to represent Australia's international climate change strategies and policy positions at international forums and meetings (eg UNFCCC negotiation sessions);</li> <li>• high-level liaison, negotiation and consultation with major stakeholders, including advocacy and prosecution of Australian Government policy positions. Includes developing international relationships with partner nations, hosting international meetings, such as informal meetings in support of United Nations negotiations, and conducting negotiations under conventions and treaties;</li> </ul>	Retain as national archives

## CLIMATE CHANGE INTERNATIONAL ENGAGEMENT

Class no	Description of records	Disposal action
	<ul style="list-style-type: none"> <li>• developing, negotiating and reviewing conventions and treaties established with other nations and/or international organisations to support climate change initiatives. Includes final version, major drafts, submissions and stakeholder consultation;</li> <li>• surveillance and monitoring of international climate change issues, including carbon market developments. Includes final reports, statistical analysis and related datasets and associated information;</li> <li>• major global climate change research and analysis. Includes final research reports, statistical and trend analysis, and supporting research datasets and associated information;</li> <li>• national and high-level reviews, including major internal reviews. Includes final review reports, major drafts, recommendations, stakeholder consultations, submissions and supporting research;</li> <li>• master versions of agency publications produced to support the international engagement;</li> </ul> <p><i>[For the production and distribution of agency publications, use PUBLICATION.]</i></p> <ul style="list-style-type: none"> <li>• final versions of unpublished proceedings, reports, speeches and papers from conferences, seminars, and workshops hosted by the agency; and</li> <li>• final versions of speeches and other material prepared for the Prime Minister, portfolio Minister or senior agency staff for use in international communications.</li> </ul> <p>The following <b>significant records</b> of activities that: are precedent setting; ground-breaking or innovative; prominent, controversial or attract considerable official or public interest; will potentially have a substantial social, economic, political or environmental impact; represent a significant contribution to the existing body of knowledge; result in changes or have considerable implications for Government or agency policies or programs; result in changes to legislation; or have national or international implications:</p> <ul style="list-style-type: none"> <li>• designing, developing, and establishing significant international engagement programs and projects (including joint ventures), including all bilateral programs developed under the auspices of international agreements (eg International Forest Carbon Initiative). Includes project plans, research findings, progress reports, agreements, stakeholder consultations, risk analysis and project outcomes;</li> <li>• implementing significant international engagement programs and projects (including joint ventures) that do not involve the provision of funding, including all bilateral programs developed under the auspices of international agreements. Includes project plans, research findings, progress reports, agreements, risk analysis reports and project outcomes; and</li> <li>• developing, negotiating and reviewing significant agreements and contracts and supporting documents, including those which relate to substantial funding arrangements with other governments, agencies and organisations. Includes international partnerships and bilateral agreements, joint venture agreements, Memorandums of Understanding and formal collaboration arrangements.</li> </ul>	

## CLIMATE CHANGE INTERNATIONAL ENGAGEMENT

Class no	Description of records	Disposal action
61450	Records documenting: <ul style="list-style-type: none"><li>• <b>routine operational administrative tasks</b> supporting the core business; and</li><li>• <b>international engagement activities, other than those covered in class 61449.</b></li></ul>	Destroy 10 years after action completed



## CLIMATE CHANGE PROGRAM FUNDING ADMINISTRATION

The core business of administering and coordinating the delivery of government programs, projects and services relating to climate change mitigation, adaptation, and international engagement, which involve the provision of funding to approved recipients through grants, subsidies and rebates. Includes funding to support regulatory activity, demonstration projects, large scale household and community programs, and compensation or assistance programs.

Excludes the development of policies establishing programs, projects and services and program design.

The **core tasks** associated with program funding administration include:

- establishing the administration of program funds, including implementing program guidelines and assessment criteria;
- establishing and maintaining registers to support program funding administration;
- creating and maintaining service provider panels, including receiving expressions of interest;
- receiving and responding to enquiries and complaints;
- soliciting, processing and assessing applications for funding assistance;
- establishing and managing assessment panels to review applications (where applicable);
- notifying applicants of assessment outcomes;
- negotiating and establishing agreements and contracts, issuing letters of offer, and amending schedules and making variations to terms and conditions;
- managing appeals and reviewing decisions, including internal consideration of unsuccessful applications;
- managing funding arrangements, including financial monitoring and viability checks, fund acquittal and finalising payments of outstanding rebate monies;
- receiving milestone and progress reports from funding recipients;
- monitoring compliance with funding terms and conditions, including conducting inspections and audits of services, and where necessary undertaking investigations of breaches of terms and conditions;
- determining and applying penalties for compliance breaches, including handling and processing compliance referrals to law enforcement authorities and recovering debt; and
- reporting on administration of funding programs and projects, including reporting on compliance activities to the portfolio Minister.

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

- developing and implementing low level operational policies and procedures;
- giving and receiving low-level and routine advice;
- arranging trips and visits;
- planning, conducting and facilitating internal and external audits;
- delegating powers and authorising actions;
- managing and participating in low level internal and external committees and meetings; and
- preparing and presenting speeches and addresses.

### Cross references

*For the design, development and establishment of funded programs, projects and services (including policies, frameworks, and plans supporting implementation), use CLIMATE CHANGE ADAPTATION, CLIMATE CHANGE MITIGATION and/or CLIMATE CHANGE INTERNATIONAL ENGAGEMENT.*

*For legislative compliance activities, use CLIMATE CHANGE REGULATORY ADMINISTRATION.*

*For managing financial transactions, use FINANCIAL MANAGEMENT.*

*For legal advice, use LEGAL SERVICES.*

## CLIMATE CHANGE PROGRAM FUNDING ADMINISTRATION

*For media releases, use COMMUNITY RELATIONS and/or GOVERNMENT RELATIONS.*

*For development of new legislation and amendments to existing legislation, use GOVERNMENT RELATIONS and/or STRATEGIC MANAGEMENT.*

*For advice, briefs and submissions to the portfolio Minister, cabinet submissions, and the organisation's participation in formal inquiries, use GOVERNMENT RELATIONS.*

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

Class no	Description of records	Disposal action
61451	<p>The following <b>significant records</b> documenting:</p> <ul style="list-style-type: none"> <li>• developing high-level formal reports, including compliance reports and reports to the Minister on investigation outcomes. Includes final versions, major drafts and supporting research;</li> <li>• high-level internal and external committees and other bodies where the agency is the Australian Government's main representative, provides the secretariat or plays a substantial role in deliberations. Includes establishment documentation, agenda, final versions of minutes, reports and tabled papers;</li> <li>• summary records supporting funding programs, such as those consolidating information on service providers or successful and unsuccessful funding applications for a specific funding program (eg Home Insulation Program database). Includes registers;</li> <li>• master versions of agency publications and promotional material produced to support the core business. Includes information sheets;</li> </ul> <p><i>[For the production and distribution of agency publications, use PUBLICATION.]</i></p> <ul style="list-style-type: none"> <li>• national and high-level reviews, including major internal reviews. Includes final review reports, major drafts, recommendations, stakeholder consultations, submissions and supporting research; and</li> <li>• final versions of speeches and addresses presented by the portfolio Minister or senior agency staff.</li> </ul> <p>The following <b>significant records</b> of activities that: are precedent setting; ground-breaking or innovative; prominent, controversial or attract considerable official or public interest; will potentially have a substantial social, economic, political or environmental impact; represent a significant contribution to the existing body of knowledge; result in changes or have considerable implications for Government or agency policies or programs; result in changes to legislation; or have national or international implications:</p> <ul style="list-style-type: none"> <li>• program case files documenting the implementation and administration of major funding programs. Includes, records of assessment panels formed to assess funding applications for specific programs and projects. Includes final reports, recommendations, research and decisions;</li> <li>• application case files for applicants receiving funding assistance (including grants, sponsorships, subsidies and rebates) through programs, projects or services. Includes successful applications for research grants and signed agreements. Includes program outcomes (eg research paper, findings, final report), where such outcomes are submitted to the agency under funding agreement obligations;</li> <li>• investigations into significant complaints and breaches of terms and conditions of funding agreements and contracts, including all those which</li> </ul>	Retain as national archives

## CLIMATE CHANGE PROGRAM FUNDING ADMINISTRATION

Class no	Description of records	Disposal action
	<p>relate to serious injury, death or substantial financial loss for the Commonwealth or result in litigation or criminal charges (eg investigations into the Home Insulation Program house fires). Includes initial compliance issues and/or referrals, investigation plans, correspondence, records of site inspections and audits, legal advice, enforcement notices, subpoenas and discovery orders, interviews, statements and final reports;</p> <p><i>[For litigation resulting from investigations, use LEGAL SERVICES]</i></p> <ul style="list-style-type: none"> <li>• appeals or reviews of decisions made by the agency; and</li> <li>• final versions of significant agreements and contracts and supporting documents, including all those that relate to substantial funding arrangements with other governments, agencies and organisations. Includes joint venture agreements, Memorandums of Understanding and formal collaboration arrangements.</li> </ul>	
61452	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• <b>successful application case files for climate change program funding assistance</b>, including grants, sponsorships, subsidies and rebates, other than those covered in class 61451.</li> </ul>	Destroy 20 years after action completed
61453	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• <b>routine operational administrative tasks</b> supporting the core business; and</li> <li>• <b>program funding administration activities other than those covered in classes 61451 to 61452.</b></li> </ul>	Destroy 7 years after action completed

## CLIMATE CHANGE REGULATORY ADMINISTRATION

The core business of administering compliance with, and enforcement of, the Australian Government's climate change and energy efficiency legislative frameworks that: underpin the introduction of reporting and disclosure schemes; inform government policy formulation and the Australian public; meet Australia's international reporting and approval obligations; and assist Commonwealth, State and Territory government programs and activities. Includes the establishment and implementation of education, monitoring, compliance and enforcement programs. Includes oversight of the National Greenhouse and Energy Reporting (NGER) Scheme, the Carbon Farming Initiative and building energy efficiency disclosure legislation. Excludes managing the allocation of program funding to support the delivery of programs and services.

The **core tasks** associated with **establishing the framework for the administration of international climate change protocols and government legislative schemes** include:

- developing, implementing and reviewing national and high-level policies, legislative instruments, frameworks, strategies, plans and measures;
- establishing and operating Australia's Designated National Authority (DNA) and Designated Focal Point (DFP) project-based flexibility mechanisms in accordance with the Kyoto Protocol, including processing Australian entities applications to participate in Kyoto offset projects;
- developing and implementing programs and projects;
- establishing and maintaining statutory and non-statutory registers;
- providing and receiving advice, including policy advice;
- negotiating, establishing and reviewing agreements and contracts;
- undertaking strategic research to determine trends in stakeholder behaviour and motivation;
- planning, developing and delivering marketing, outreach, education, and training programs and campaigns to promote compliance, including market research; and
- liaising, consulting and handling representations with stakeholders and reporting on findings.

The **core tasks** associated with supporting **compliance and enforcement of legislative obligations** include:

- receiving, assessing and determining applications for registration, accreditation, suspension, deregistration and exemptions;
- collecting and validating reported data and information from registrants, including regulatory approvals;
- collecting and analysing intelligence to detect and prevent regulatory compliance breaches and illegal activity;
- processing, assessing and determining requests for the disclosure and non-disclosure of information to governments, agencies, organisations or individuals;
- managing registration and accreditation of assessors and auditors, including conducting periodic inspections, reporting on performance, and, where necessary, suspending or revoking accreditation and/or deregistration of certified assessors and registered auditors;
- maintaining a standing offer panel of providers of greenhouse and energy audit services;
- conducting periodic reviews of registrations, compliance inspections and audits;
- conducting investigations into alleged contraventions and referring matters to appropriate law enforcement authorities;
- recording contraventions on registers, issuing infringement notices and negotiating and issuing enforceable undertakings;
- handling enforcement cases that result in litigation/legal proceedings, including managing appeals and reviewing decisions made by the agency; and
- ensuring compliance with enforcement outcomes, including managing debt recovery.

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

- developing and implementing operational policies, procedures, guidelines and plans;

## CLIMATE CHANGE REGULATORY ADMINISTRATION

- arranging trips and visits, outreach events and training;
- receiving and responding to enquiries and complaints, including requests for technical assistance;
- preparing and presenting speeches and addresses;
- evaluating and reviewing systems, services and products;
- establishing, managing and participating in internal and external committees, meetings and other forums;
- developing reports and submissions;
- delegating powers and authorising actions;
- planning, conducting and facilitating internal and external audits; and
- identifying, assessing and managing risk.

### Cross references

*For the development of programs and schemes relating to energy efficiency and renewable energy projects aimed at mitigating greenhouse gas emissions and the development of climate change standards, use CLIMATE CHANGE MITIGATION.*

*For managing program and service funding, use CLIMATE CHANGE PROGRAM FUNDING ADMINISTRATION.*

*For the acquisition, implementation and maintenance of software and hardware supporting agency systems and statutory registers, use TECHNOLOGY AND TELECOMMUNICATIONS.*

*For media releases, use COMMUNITY RELATIONS and/or GOVERNMENT RELATIONS.*

*For development of new legislation and amendments to existing legislation, use GOVERNMENT RELATIONS and/or STRATEGIC MANAGEMENT.*

*For advice, briefs and submissions to the portfolio Minister, cabinet submissions, and the organisation's participation in formal inquiries, use GOVERNMENT RELATIONS.*

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

Class no	Description of records	Disposal action
61454	<p>The following <b>significant records</b> documenting:</p> <ul style="list-style-type: none"> <li>• developing and implementing national and high-level policies, frameworks, plans, and strategies. Includes final versions, feasibility studies, submissions, discussion papers, results of stakeholder consultations and supporting research;</li> <li>• developing, implementing and reviewing legislative instruments, standards, rules and guidelines on the climate change legislative framework. Includes determinations, such as the National Greenhouse and Energy Reporting (Measurement) Determination. Includes final versions, explanatory statements, technical guidelines, results of stakeholder consultations and submissions;</li> <li>• establishing and implementing Australia's Designated National Authority and Designated Focal Point project-based flexibility mechanisms in accordance with the Kyoto Protocol (eg Australia's National Authority for the Clean Development Mechanism (CDM) and Joint Implementation (JI));</li> <li>• greenhouse gas reduction or removal projects approved as CDM or JI projects (also known as Kyoto offset projects), including application assessment and approval (ie case files). Includes project design document, declaration of compliance and project authorisations (eg Letters of Approval);</li> </ul>	Retain as national archives

## CLIMATE CHANGE REGULATORY ADMINISTRATION

Class no	Description of records	Disposal action
	<ul style="list-style-type: none"> <li>• high-level advice given to, or received from, major stakeholders. Includes final versions, opinions, submissions, discussion papers and briefings;</li> <li>• high-level internal and external committees and other bodies where the agency provides the secretariat, is the Australian Government's main representative, or plays a substantial role in deliberations. Includes establishment documentation, agenda, minutes and tabled papers;</li> <li>• developing national and high-level reports, including green papers (eg Carbon Pollution Reduction Scheme Green Paper). Includes final versions, stakeholder consultation, major drafts and supporting research;</li> <li>• national and high-level reviews, including strategic reviews and major internal reviews, of agency administered legislation, policies and programs. Includes final version, recommendations, stakeholder consultation, submissions and supporting research;</li> <li>• final versions of speeches and addresses presented by the portfolio Minister or senior agency staff;</li> <li>• major marketing and educational campaigns that promote regulatory administration programs and services, or raise awareness of climate change impacts. Includes market research, major outreach events, communication strategies and final versions of marketing materials;</li> <li>• final versions of unpublished proceedings, reports, speeches and papers from agency conferences, seminars and workshops hosted by the agency;</li> <li>• developing, establishing and maintaining statutory registers and significant non-statutory registers to support regulatory administration. Includes relevant datasets and associated information. Excludes registers of accredited assessors and compliance auditors;</li> <li>• master versions of agency publications produced to support regulatory administration. Includes guidelines and information sheets; and</li> </ul> <p><i>[For the production and distribution of agency publications, use PUBLICATION.]</i></p> <ul style="list-style-type: none"> <li>• outcomes of major strategic research, including trend analysis. Includes final reports, research findings, statistical analysis and data models.</li> </ul> <p>The following <b>significant records</b> of activities that: are precedent setting; ground-breaking or innovative; prominent, controversial or attract considerable official or public interest; will potentially have a substantial social, economic, political or environmental impact; represent a significant contribution to the existing body of knowledge; result in changes or have considerable implications for Government or agency policies or programs; result in changes to legislation; or have national or international implications:</p> <ul style="list-style-type: none"> <li>• developing and implementing regulatory administration programs and projects, including projects undertaken as joint ventures. Includes program proposals, project plans, research findings, progress reports, risk analysis reports and project outcomes;</li> <li>• high-level liaison, consultation or representation with regional and international peak bodies, governments and other major stakeholders relating to education, compliance and enforcement issues;</li> <li>• compliance auditing, monitoring and enforcement involving penalties (sanctions and exclusions) in cases of entity or individual non-compliance;</li> </ul>	

## CLIMATE CHANGE REGULATORY ADMINISTRATION

Class no	Description of records	Disposal action
	<ul style="list-style-type: none"> <li>• significant investigations into alleged contraventions (ie investigation case files), including all those that result in legal proceedings (ie prosecution action). Includes warrants, briefs of evidence, interview notes, inspection reports and referrals to external bodies;</li> </ul> <p><i>[For litigation resulting from investigations, use LEGAL SERVICES]</i></p> <ul style="list-style-type: none"> <li>• appeals or reviews of decisions made by the agency; and</li> <li>• final versions of significant agreements and contracts and supporting documents, including all those that relate to substantial funding arrangements with States and Territories and other organisations. Includes national partnership and bilateral agreements, joint venture agreements and Memorandums of Understanding.</li> </ul>	
61456	Records documenting: <ul style="list-style-type: none"> <li>• <b>routine operational administrative tasks</b> supporting the core business; and</li> <li>• <b>regulatory administration activities</b>, other than those covered in <b>class 61454</b>.</li> </ul>	Destroy 10 years after action completed