



Records Authority

2014/00247391

National Capital Authority

*National Capital Estate Renewal and Management;
National Capital Planning*

2015

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INTRODUCTION

The National Capital Authority (NCA) and the National Archives of Australia have developed this Records Authority to set out the requirements for keeping or destroying records dating from NCA's establishment in 1989 for the core business areas of National Capital Estate Renewal and Management and National Capital Planning. It represents a significant commitment on behalf of the NCA to understand, create and manage the records of its activities.

This Authority is based on the identification and analysis of the business of the NCA. 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 the NCA 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 of Australia.

APPLICATION OF THIS AUTHORITY

1. This Authority supersedes Records Disposal Authority (RDA) 1392 for records created on or after 31 January 1989. RDA 1392 cannot be used by the NCA to sentence records created on or after 31 January 1989 after the 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 authorises the NCA to use and is purposely designed to be used in conjunction with Records Authority 2011/00275285 Cultural Collections, to cover the management of collection development, commercial services, exhibition development, preservation and public programs for NCA records created on or after 31 January 1989, including the inform and educate business associated with section 6(e) of the *Australian Capital Territory (Planning and Land Management) Act 1988*.
4. 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.
5. 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.

6. 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.
7. 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.
8. 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 NCA 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.
9. In general, retention requirements indicate a minimum period for retention. The NCA 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 NCA 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.
10. 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*.
11. 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.
12. 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.
13. Advice on how to use this Authority is available from the NCA 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 Business Centre ACT 2610

Tel: (02) 6212 3610
Fax: (02) 6212 3989
Email: recordkeeping@naa.gov.au
Website: www.naa.gov.au

AUTHORISATION

RECORDS AUTHORITY 2014/00247391

Person to whom notice of authorisation is given:

Malcolm Snow
Chief Executive
National Capital Authority
Treasury Building
King Edward Terrace
PARKES ACT 2600

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 National Capital Estate Renewal and Management and National Capital Planning created on or after 31 January 1989.

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:

20 April 2015

NATIONAL CAPITAL ESTATE RENEWAL AND MANAGEMENT

The core business of managing National Land, assets and Lake Burley Griffin as designated in the Australian Capital Territory (Planning and Land Management) Act 1988 and the National Capital Plan as land required for the special purposes of Canberra as the National Capital.

The **core activities** include:

- developing, implementing and reviewing policies, programs, plans, strategies and guidelines;
- managing, conserving and maintaining NCA managed land and assets, including Lake Burley Griffin and diplomatic sites and estates;
- developing, receiving and disseminating reports relating to NCA managed land, assets, and Lake Burley Griffin, including environmental research and monitoring reports;
- managing events and activities undertaken on NCA managed land, assets and Lake Burley Griffin, including construction of capital works;
- managing leases, licences, permits and applications, including determining rent, fees and charges;
- managing land, road and water closures;
- liaising with government agencies, industry and the general public; and
- negotiating, establishing, managing and reviewing agreements and arrangements;

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

- delegating powers and authorising actions;
- preparing speeches and presentations;
- conducting audits and reviews;
- managing and participating in internal and external committees and meetings;
- receiving and responding to enquiries; and
- developing operational policies and procedures.

Includes legacy activities associated with the abstraction of water from Lake Burley Griffin

Cross Reference to other areas of this Records Authority

For advice, submissions and development applications relating to NCA managed land and assets, including diplomatic estates, use NATIONAL CAPITAL PLANNING.

For images, plans, designs, scale models and drawings that have been developed and produced for the purpose of conservation, construction, building and maintenance of areas that are managed or influenced by the NCA, use NATIONAL CAPITAL PLANNING.

Cross References to AFDA Express Records Authority

For agency media releases and administrative arrangements with the media, community engagement and routine liaison activities regarding agency programs, products and services, use COMMUNITY RELATIONS.

For accidents or incidents occurring on NCA managed land or assets, use COMPENSATION.

For the payment of monies, including collection of rent and parking fees relating to the commercial use of NCA managed land and assets, use FINANCIAL MANAGEMENT.

For legal advice relating to NCA managed land or assets, use LEGAL SERVICES

For records documenting the engagement of volunteers, use PERSONNEL.

For acquisition of goods and services, including tender process documentation, use PROCUREMENT.

For the production and distribution of agency publications including education resources, exhibition programs and producing other publications for sale, use PUBLICATION.

For records documenting inspections in the workplace, use WORKPLACE HEALTH & SAFETY.

NATIONAL CAPITAL ESTATE RENEWAL AND MANAGEMENT

Cross References to other records authorities

Use 2011/00275285 Cultural Collections for:

- *developing and managing public outreach and education programs to promote collections and manage visitor services*
- *development of exhibitions, both temporary and permanent*
- *managing activities undertaken to preserve collection items including developing policies, strategies and plans*
- *managing commercial services undertaken to increase the profile of the organisation including designing, manufacturing and selling commercial products, monitoring and evaluating customer services, marketing and event management*

Class no	Description of records	Disposal action
61534	<p>The following significant records, from 31 January 1989, documenting:</p> <ul style="list-style-type: none"> • management, conservation and enhancement of significant NCA managed land and assets such as National Memorials, diplomatic sites and estates, heritage value buildings and Lake Burley Griffin, including the Aboriginal Tent Embassy, National Carillon and Blundell's Cottage. Includes major works activities and summary information in the asset register; <p><i>[For routine maintenance and conservation activities, use class 61537]</i></p> <ul style="list-style-type: none"> • development and review of policies, programmes, plans, strategies, studies and guidelines informing the management, conservation and use of significant NCA managed land and assets such as National Memorials, diplomatic sites and estates, heritage value buildings and Lake Burley Griffin. Includes final version, major drafts and supporting research. eg Urban Planning Studies and Water Quality Guidelines; • reports produced or commissioned by the NCA relating to the management, development, conservation and use of significant NCA managed land and assets such as National Memorials, diplomatic sites and estates, heritage value buildings and Lake Burley Griffin, including the Aboriginal Tent Embassy. Includes environmental research and monitoring reports, major construction, project and inspection reports, reports of national commemorative events or natural disasters taking place on NCA managed land, and reviews into the performance of the agency. Includes final version, major drafts and supporting research; • liaison with government, industry and the public relating to National Capital Estate Renewal and Management activities which relate to major works or the management, conservation and use of significant NCA managed land and assets such as National Memorials, diplomatic sites and estates, heritage value buildings and Lake Burley Griffin; • arrangements, agreements, Memorandums of Understanding (MOUs) and contracts relating to the management, conservation and use of significant NCA managed land and assets such as National Memorials, diplomatic sites and estates, heritage value buildings and Lake Burley Griffin. Includes water abstraction agreements, Crown Leases for diplomatic sites and estates, agreements with external parties to undertake major works activities and projects, including those that do not proceed; • events organised, managed and held on national or designated land of national significance. Includes the Australia Day Live concerts; and 	Retain as national archives

NATIONAL CAPITAL ESTATE RENEWAL AND MANAGEMENT

Class no	Description of records	Disposal action
	<ul style="list-style-type: none"> • final version of speeches and presentations made by senior agency staff relating to National Capital Estate Renewal and Management activities. 	
61535	Records, from 31 January 1989, documenting: <ul style="list-style-type: none"> • agreements, Memorandums of Understanding (MOUs) and contracts relating to the management, conservation, maintenance and use of NCA managed land and assets, other than those covered by class 61534. 	Destroy 12 years after completed or termination of agreement
61536	Records, from 31 January 1989, documenting: <ul style="list-style-type: none"> • approval, management and coordination of events undertaken on NCA managed land and assets, including Lake Burley Griffin. Includes minor events such as Christmas parties, weddings and charity fundraisers; and • unsuccessful applications received by the NCA to conduct business on NCA managed land and assets, including Lake Burley Griffin. 	Destroy 3 years after action completed
61537	Records, from 31 January 1989, documenting: <ul style="list-style-type: none"> • routine operational administrative tasks supporting the core business; and • National Capital Estate Renewal and Management activities other than those covered in classes 61534 to 61536. 	Destroy 7 years after action completed

NATIONAL CAPITAL PLANNING

The core business of preparing and administering the National Capital Plan to ensure that Canberra and the Territory are planned and developed in accordance with their national significance.

Includes managing the approval process for design and development of Designated Areas as defined under the National Capital Plan. This includes National Land, Territory Land and National Land used for the special purposes of the National Capital.

The **core activities** include:

- receiving, assessing and reviewing applications for development and use of National Land;
- managing and determining the outcome of applications for development and use of National Land;
- reviewing, proposing and making amendments to the National Capital Plan when necessary;
- specifying requirements for planning and design on land outside Designated Areas;
- creating and maintaining frameworks for places meeting Commonwealth Heritage Values;
- developing planning strategies for National Land;
- the development, evaluation and management of maps, surveys, plans and drawings that enables planning;
- developing briefings, submissions, evaluations, discussion papers and reports;
- managing appeals and litigation relating to National Capital Planning;
- ensuring the consistency of the National Capital Plan;
- preparation and agreement of Development Control Plans;
- managing and determining the location and character of National Memorials;
- benchmarking for improvement of quality of services and processes of the agency;
- determining road closures;
- determining fees and charges for planning services; and
- collaborating with other agencies responsible for planned cities.

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

- providing and receiving advice;
- receiving and responding to enquiries;
- establishing and managing meetings, committees, joint ventures and agreements;
- liaison and coordinating arrangements with stakeholders;
- developing policies, procedures and guidelines;
- conducting audits;
- arranging and attending conferences;
- delegating powers and authorising actions; and
- managing risk.

Cross Reference to other areas of this Records Authority

For liaison with government, industry and the public relating to the implementation of National Capital Planning, use NATIONAL CAPITAL ESTATE RENEWAL AND MANAGEMENT.

Cross References to AFDA Express Records Authority

For records documenting the engagement of the community and media regarding NCA programs, products and services, use COMMUNITY RELATIONS.

For records documenting ministerial planning decisions, use GOVERNMENT RELATIONS.

NATIONAL CAPITAL PLANNING

For records documenting legal advice for compliance purposes, use LEGAL SERVICES.

For managing contracts and Memorandums of Understanding, use PROCUREMENT.

Cross References to other records authorities

For the management of photos, drawings and models, use 2011/00275285 CULTURAL COLLECTIONS.

Class no	Description of records	Disposal action
61531	<p>The following significant records, from 31 January 1989, documenting:</p> <ul style="list-style-type: none"> • applications, final reports and related entries, and supporting information of all major works and development applications. Includes records documenting the preparation, management and approval of applications; <p><i>[For records documenting the statutory planning approval of temporary and/or minor works applications as defined by legislation, use 61533.]</i></p> <ul style="list-style-type: none"> • applications, consultation reports, final plans, study reports and supporting information that document the planning of Territory or National Land in the Designated Areas or National Land outside Designated Areas. Includes the National Capital Open Space System Report and records documenting the preparation, management and approval of Development Control Plans, Master Plans and amendments to the National Capital Plan; • National Capital Authority (NCA) planning and design advice. Includes regulating major work and development within Designated Areas and ensuring Territory planning is consistent with the statutory objective of the National Capital Plan; <p><i>[For records documenting the provision of minor works planning and design advice that has no consequence for the National Capital Plan, see 61533.]</i></p> <ul style="list-style-type: none"> • final plans, scale models, images, maps and drawings relating to the National Land and assets. Includes final measurements detailing dimensions, locations, distances, elevations, directions and angles. Includes images and developing maps, plans, scale models and drawings that enable the management, maintenance, conservation and planning of National Land and assets; • administration of the NCA frameworks for the management of identifying, protecting and managing heritage places of National and Commonwealth heritage value. Includes the Heritage register and final Heritage Management Plans; • development approvals for diplomatic estates and supporting documentation; • significant national or international liaison reports, reviews and collaborative ventures regarding management of Planned National Capital cities; • appeals against NCA planning decisions and permanent road closures; • final and amended policies, standards and guidelines, including final versions, major drafts and supporting records, that relate to the National Capital Planning core business. Includes those that are not defined in legislation or the National Capital Plan, such as Urban Design Guidelines; • high-level internal and external committees where the agency provides 	Retain as national archives

NATIONAL CAPITAL PLANNING

Class no	Description of records	Disposal action
	<p>the Secretariat, is the Commonwealth's main representative, or plays a significant role, eg the <i>Canberra National Memorials Committee</i>. Includes establishment documentation, agenda, final versions of minutes, reports, briefing notes and tabled papers; and</p> <ul style="list-style-type: none"> • final version of speeches and presentations made by senior agency staff relating to National Capital Planning. 	
61532	<p>Records, from 31 January 1989, documenting:</p> <ul style="list-style-type: none"> • the evaluation, development and implementation of fees and charges for planning services; and • the use of specialist consultancy services on projects, including master planning and planning advice. 	Destroy 15 years after action completed
61533	<p>Records, from 31 January 1989, documenting:</p> <ul style="list-style-type: none"> • routine operational administrative tasks supporting the core business; and • National Capital Planning activities other than those covered in classes 61531 and 61532. 	Destroy 10 years after action completed