



Records Authority

2016/00247974

Civil Aviation Safety Authority

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2017



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INTRODUCTION

The Civil Aviation Safety Authority 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 area of Aviation Safety Regulation and Promotion. It represents a significant commitment on behalf of the Civil Aviation Safety Authority to understand, create and manage the records of its activities.

This authority is based on the identification and analysis of the business of the Civil Aviation Safety Authority. It takes into account the agency's legal and organisational records management requirements, and the interests of stakeholders, the agency and the National Archives.

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 Civil Aviation Safety Authority 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 supersedes Records Authority (RA) 2002/05214604 (2003). The superseded records authority cannot be used by the Civil Aviation Safety Authority to sentence records after the date of issue of this authority.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' 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;
 - General Records Authority (31) - Destruction of source or original records after digitisation, conversion or migration (2015); and
 - the Civil Aviation Safety Authority index developed specifically for this records 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 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
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

7. Where the method of recording information changes (for example from an analogue system to a digital 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 Civil Aviation Safety Authority 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 Civil Aviation Safety Authority 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 Civil Aviation Safety Authority 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. Records created digitally after 1 January 2016 can be transferred in digital formats only.
12. Advice on how to use this authority is available from the Civil Aviation Safety Authority 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 information management matters, please contact National Archives' [Agency Service Centre](#).

AUTHORISATION

RECORDS AUTHORITY 2016/00247974

Person to whom notice of authorisation is given:

Shane Carmody
Civil Aviation Safety Authority
Aviation House
16 Furzer Street, Phillip ACT 2606

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 Aviation Safety Regulation & Promotion.

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.

Authorising Officer

Linda Macfarlane
A/g Assistant Director-General
National Archives of Australia

Date of issue:

15 December 2017

AVIATION SAFETY REGULATION & PROMOTION

The core business of managing the safety regulation of civil air operations in Australian territory and the operation of Australian aircraft outside Australian territory. Includes regulation of operators, individuals, aircraft, airspace and aerodromes to ensure the safety of Australian aviation.

The tasks associated with this core business include:

- providing and receiving advice;
- negotiating, establishing and reviewing agreements, including memorandum of understanding, joint ventures and other cooperative arrangements;
- licences, permissions, certificates, registrations, approvals and other authorisations and exemptions for entry control to enable participation in the aviation industry and other aviation activities;
- responding to reviews and appeals against decisions;
- developing and implementing aviation safety standards, legislation, rules, policies, procedures, and other guidelines;
- audits of the agency's safety regulation practices;
- receiving and issuing safety notifications;
- managing insurance policies and claims;
- undertaking research and analysis, including industry and other stakeholder surveys;
- establishing, managing and participating in stakeholder committees, working groups and taskforces;
- liaising, meeting and consulting with stakeholders, including industry groups and customers;
- developing plans, strategies and tactics;
- nominating, selecting and appointing representatives to international bodies and similar groups;
- preparing and managing submissions;
- receiving and assessing complaints;
- drug and alcohol testing personnel in the aviation industry;
- investigating suspected breaches of regulatory requirements;
- taking enforcement and compliance-related action, including counselling and recommending remedial training;
- undertaking regulatory surveillance, monitoring, auditing and reviewing;
- airspace change management, including aeronautical studies and Airspace Change Proposals (ACPs);
- communicating and promoting aviation safety through educational and information sessions and material, exhibitions, visits, tours and similar activities; and
- compiling and keeping registers and other summary records.

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

- developing and reviewing internal policies and procedures;
- making routine arrangements for committees, working groups, task forces and other meetings;
- project administration;
- preparing and delivering speeches and presentations;
- managing and attending conferences and symposia; and
- handling enquiries.

AVIATION SAFETY REGULATION & PROMOTION

Cross references to AFDA Express Records Authority:

For government inquiries, ministerials, ministerial directives, responding to questions on notice, senate reporting, and visits made by heads of state, representatives of other government agencies, and interstate and overseas governments, use GOVERNMENT RELATIONS.

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

For legal advice and litigation, use LEGAL SERVICES.

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

For the graphic design, layout, etc. of publications, use PUBLICATION.

For the agency's business planning and performance management, risk management and reporting processes, use STRATEGIC MANAGEMENT.

Cross references to other records authorities:

For boards including the CASA Board, use GOVERNING BODIES

For advisory bodies, including the Standards Consultative Committee and Regional Airspace and Procedures Advisory Committee, use ADVISORY BODIES.

For the administration of grants such as those provided to aircraft engineering apprentices, use GRANT MANAGEMENT.

Class no	Description of records	Disposal action
62052	<p>Records documenting:</p> <ul style="list-style-type: none"> • high-level advice that sets precedents, is contentious or controversial, or concerns issues of significant interest to stakeholders, such as advice related to serious breaches of standards or technical advice impacting on the broad operation of aviation industry; • final versions of high-level agreements and supporting documents to which the agency is signatory, such as domestic and international intergovernmental agreements, inter-agency memoranda of understanding, agreements with industry and communities, and agreements which establish significant co-operative or partnership arrangements; • receipt and processing of licences, permissions, certificates, approvals, registrations, delegations and other authorisations and exemptions for entry control and other activities in the aviation industry, and which are considered controversial, subject to significant public and media attention or government-level scrutiny, have a high research value, relate to eminent aviators, represent innovation or standards for Australian designs and processes, manufacturing, or set precedents nationally or internationally. Includes variations, revocations and supporting documentation; • reviews and appeals against decisions and activities of the agency which are considered significant, controversial, precedent setting, or attract significant public, industry or media attention; • development and review of standards, legislative instruments, rules, policies, procedures, and other guidelines of major significance to the aviation industry. Includes final versions, proposals, major drafts distributed for stakeholder comment, consultation reports, supporting research, drafting instructions, legal advice, and regulatory impact statements; • submissions from the agency concerning issues of major national 	Retain as national archives

AVIATION SAFETY REGULATION & PROMOTION

Class no	Description of records	Disposal action
	<p>and international safety significance;</p> <ul style="list-style-type: none"> • safety notifications, complaints and investigations that are controversial, subject to significant public and media attention or government-level scrutiny, have a high research value, set precedents nationally or internationally, or have led to urgent safety action or significant enforcement such as cancellation or prosecution; • regulatory surveillance, monitoring, reviewing and auditing activities that are controversial, subject to significant media attention, continual research or government-level scrutiny, set precedents nationally or internationally, or have led to urgent safety action or significant enforcement; • significant airspace change management, including aeronautical study reports, critical restricted and danger areas, and approved change proposals; • final reports and supporting data of research and analysis that is undertaken to identify trends, risk profiles and patterns impacting on aviation safety; • high-level internal or external committees, taskforces and similar working groups where the agency provides the chair, secretariat, or is the Commonwealth's main representative. Includes national and international groups (e.g. International Civil Aviation Organization (ICAO)); • high-level plans and strategies concerning the overall management of safety regulation, including plans covering the implementation of regulatory changes that impact significantly on industry, the agency or the public. Includes major drafts distributed for stakeholder comment, results of consultations and final versions; • Significant registers such as the Australian Civil Aircraft Register and Certified Aerodrome Register; • speeches and presentations made by the Minister, Board members and senior agency staff; and • final versions of proceedings and reports of high-level conferences hosted by the agency. 	
62053	<p>Records documenting:</p> <ul style="list-style-type: none"> • receipt and processing of entry control licences, permissions, certificates, approvals and other authorisations and exemptions issued to individuals rather than entities. Includes applications, test results (individual and consolidated examination results, and results of medicals), approvals, variations, revocations and supporting documentation concerning authorisations for flight crew, aircraft maintenance engineers, and air traffic controllers, and for airworthiness authorities for non-destructive testing, examining aircraft maintenance engineers and controlling aircraft weight. Excludes those covered in class 62052. <p><i>For master sets of material used to test individuals and individuals' completed tests, see class 62057.</i></p> <p><i>For arrangements concerning entry control examinations, see class 62055.</i></p>	<p>Destroy 100 years after date of birth or 7 years after action completed, whichever is the longer</p>

AVIATION SAFETY REGULATION & PROMOTION

Class no	Description of records	Disposal action
	<p><i>For routine licence and authorisation renewals for operators, and unsuccessful applications, see class 62057.</i></p> <ul style="list-style-type: none"> safety notifications, complaints, investigations and other compliance-related and enforcement action concerning individuals rather than entities. Excludes those covered in class 62052. 	
62054	<p>Records documenting:</p> <ul style="list-style-type: none"> agreements under seal, other than those covered by class 62052; and final reports of audits into the agency's safety regulation practice, such as those undertaken by international bodies, e.g. International Civil Aviation Organization (ICAO). 	Destroy 25 years after action completed
62055	<p>Records documenting:</p> <ul style="list-style-type: none"> arranging conferences, meetings, tours, visits, or other events hosted by the agency; arranging attendance at external conferences, meetings, tours and similar events; arranging entry control examinations; and receiving and responding to general enquiries. 	Destroy 2 years after action completed
62056	<p>Body samples taken by the agency to confirm the presence of drugs and alcohol.</p>	Destroy in accordance with Civil Aviation Safety Regulations
62057	<p>Records documenting:</p> <ul style="list-style-type: none"> routine operational administrative tasks supporting the core business; and aviation safety regulation and promotion, other than those covered in classes 62052 to 62056. 	Destroy 7 years after action completed