



Records Authority

2017/00409605

Attorney-General's Department, *Emergency Management*

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2017



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INTRODUCTION

The Attorney-General's Department (the Department) 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 Emergency Management. It represents a significant commitment on behalf of the Department to understand, create and manage the records of its activities.

This authority is based on the identification and analysis of the business of the Department. It takes into account the agency's legal and organisational information 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 Department 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 on the basis of information provided by the agency.

As changes in circumstances may affect future information 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 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.
2. 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) - Destruction of source or original records after digitisation, conversion or migration (2015).
3. 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 NAP policy. Advice and guidance on destroying records as a normal administrative practice and on how to develop a NAP policy is available from the National Archives' website at www.naa.gov.au.
4. 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.
5. 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.
6. 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 Department 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.

7. In general, retention requirements indicate a minimum period for retention. The Department 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 Department 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.
8. 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*.
9. 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.
10. 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 must be transferred in digital formats only.
11. Advice on how to use this authority is available from the Department information 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 2017/00409605

Person to whom notice of authorisation is given:

Chris Moraitis PSM
Secretary
Attorney-General's Department
Robert Garran Offices
3-5 National Circuit
BARTON 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 Emergency Management.

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

Teresa Ward
Assistant Director-General
National Archives of Australia

Date of issue:

24 November 2017

EMERGENCY MANAGEMENT

The core business of whole-of-government coordination of emergencies and disasters is through collaborative prevention, preparedness, response and recovery efforts, including coordination with state and local government, the community, private organisations and countries.

The core activities include:

- developing implementing and reviewing whole-of-government emergency management policies, plans, strategies and frameworks;
- managing and participating in inter-governmental, inter-agency, national and international committees, sub-committees, working groups and meetings;
- liaising with other organisations including state and territory governments, other agencies, the community, and countries to support emergency management during natural disasters or major emergency events;
- maintaining a whole-of-government crisis information and operational coordination facility;
- coordinating Australian Government crisis response and recovery efforts;
- administering Commonwealth relief and recovery funding to disaster affected state and territory governments;
- administering disaster recovery and relief payments to individuals, employees, primary producers and sole traders; and
- administering awards recognising community disaster resilience initiatives.

The general activities include:

- responding to enquiries;
- presenting and preparing speeches;
- preparing procedures and guidelines;
- providing and receiving advice and briefings;
- managing and participating in internal committees, forums and working groups;
- preparing reports;
- negotiating and establishing agreements; and
- developing information products and guidance materials to educate and promote awareness.

Cross references to other Attorney-General's Department Records Authorities

For the emergency management functions which have a national security aspect that are not covered in this record authority, use NATIONAL SECURITY.

For the coordination of physical, movements and events protective security arrangements for Australian high office holders and dignitaries with guest of Government or guest of Defence status, including: undertaking risk assessments; issuing equipment and devices such as pagers; coordinating and managing vehicles; implementing plans, policies, procedures or instructions; collaborating and liaising with other agencies on protective security arrangements; providing advice to the Minister and other agencies on significant matters relating to the protective security function; and reporting or providing formal responses to a situation or request including briefing and reports, Use PROTECTIVE SECURITY

Cross references to AFDA Express Records Authority

For the development of legislation relating to Emergency Management, use GOVERNMENT RELATIONS.

For regular general contact with other government agencies, including sharing informal advice and discussions, and collaborating on projects not covered in this record authority use GOVERNMENT RELATIONS.

For compliance with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements, for other than accredited training use GOVERNMENT RELATIONS.

For agency-wide plans and policies, and for audit committees, use STRATEGIC MANAGEMENT.

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For the development and delivery of non-accredited training to staff, or staff attendance at training delivered by external organisations, use STAFF DEVELOPMENT.

For the registered training provider's public liability insurance policy, use INDUSTRIAL RELATIONS.

For procurement and management of the services of contractors, consultants and the purchase of goods and services, including the activities of acquisition, agreements, contracting-out and tendering, use PROCUREMENT.

For the production and distribution of agency publications, including promotional and education material including printed or published online, use PUBLICATION.

For all vehicle management, maintenance, repair and disposal use FLEET MANAGEMENT.

For reports received by the Department, including through the National Security Hotline, which are categorised as complaints and compliments use COMMUNITY RELATIONS.

Cross references to other records authorities

For compliance with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements, for accredited training use General Records Authority 33 – ACCREDITED TRAINING.

For advisory bodies and consultative committees that are not covered in this record authority, use General Records Authority 26 – ADVISORY BODIES.

For the management of grants including grant funding agreements, use General Records Authority 28 – GRANT MANAGEMENT.

Class no	Description of records	Disposal action
62401	<p>Records documenting:</p> <p>Developing, implementing and reviewing emergency management plans and policies and agreements, including:</p> <ul style="list-style-type: none"> • significant and final versions of whole-of-government policies, plans, frameworks and strategies such as the National Strategy for Disaster Resilience and Australian government response plans; • national disaster relief and recovery arrangements such as the Australian Government – State Governments National Disaster Relief and Recovery arrangements; • advice, opinions, reports and submissions made to and received from, the Minister or other agencies; • final versions of speeches presented by the portfolio Minister, the agency head or senior staff in support of the core business • inter-governmental or inter-agency committees, working groups and external committees where the agency provides the secretariat or is the lead agency; and • final versions of national or international agreements, including major drafts and negotiations. <p>Information and incident monitoring of significant incidents or events, including:</p> <ul style="list-style-type: none"> • briefs; • situation reports; • incident notifications; • incident digests for stakeholders; • impact assessments; 	Retain as national archives

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Class no	Description of records	Disposal action
	<ul style="list-style-type: none"> • data sets; and • referrals to other agencies. <p>Co-ordinating and liaison with other government and non-government organisations including state and territory governments, other agencies and countries to support the emergency management function where there was a natural disaster or major emergency event. Includes:</p> <ul style="list-style-type: none"> • minutes of meetings • agreements • briefings; and • post-incident reports. <p>Administration of the Natural Disaster Relief and Recovery Arrangements, providing Commonwealth relief and recovery funding to disaster affected state and territory governments. Includes:</p> <ul style="list-style-type: none"> • assessment of eligibility; • assessment of state and territory expenditure for Australian Government reimbursement; and • advice to the Department of Treasury on payments to be made under the Federal Financial Relations Act or equivalent. <p>Administration of the Australian Government Disaster Recovery Payment and the Disaster Recovery Allowance or equivalent providing disaster recovery, relief and ex-gratia payments and allowances to individuals, employees, primary producers and sole traders to provide assistance or income support in the event of a disaster. Includes:</p> <ul style="list-style-type: none"> • advice to Department of Human Services on activation of payments; • summary data on payments delivered by department of human services; • estimating appropriations for the disaster; • ministerial determinations; • impact assessments; and • operational instructions. 	
62402	<p>Records documenting:</p> <p>Managing and participating in sub-committees and working groups of inter-agency, inter-governmental and international committees, including steering groups, project groups and reference groups established by the parent committees covered in class 62401 to consider specific matters relating to the Australian government emergency management function, including:</p> <ul style="list-style-type: none"> • establishment documents; • final version of decisions; • final versions of minutes; • supporting papers submitted to the parent committee such as briefing papers and discussion papers; and 	Destroy 20 years after action completed

EMERGENCY MANAGEMENT

Class no	Description of records	Disposal action
	<ul style="list-style-type: none"> • final reports. 	
62403	<p>Records documenting:</p> <ul style="list-style-type: none"> • information and incident monitoring where the incident or event is not categorised as significant, including: <ul style="list-style-type: none"> • situation reports; • incident notifications; • reports on simulated incident exercises • provision of information digests to stakeholders; • data sets; • referrals to other agencies; and • briefings to the Minister and other agencies. <p>Records documenting:</p> <ul style="list-style-type: none"> • working papers supporting the development of formal reports; • internal committees supporting the emergency management function; • internal audits of the financial aspects of recovery funding; • responses to public enquiries where responses set a precedent or are not routine; • final version of minutes of internal and external meetings and supporting documents of meetings held to support the emergency management function with no significant impact on policies and practices; and • final versions of agreements or memoranda of understanding supporting the emergency management function, such as agreements with other agencies. <p>[For Commonwealth, State and Territory agreements for the provision of disaster assistance, use class 62401].</p>	Destroy 10 years after action completed
62404	<p>Records documenting:</p> <ul style="list-style-type: none"> • routine operational administrative tasks supporting the core business, such as: <ul style="list-style-type: none"> • giving and receiving advice and information in response to enquiries of a routine nature; • developing operational policies and procedures; • auditing business activity; • managing arrangements for committees and meetings; • reporting on routine matters; and • managing enquiries not covered in class 62403; and • emergency management activities other than those covered in classes 62401-62403. 	Destroy 7 years after action completed