



Australian Government

National Archives of Australia

Records Authority

2022/00410564

Antarctic Environmental Management

Australian Antarctic Division

2023



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Introduction

The Australian Antarctic Division (the Division) of the Department of Climate Change, Energy, the Environment and Water - 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 function of Antarctic Environmental Management. It represents a significant commitment on behalf of the Division to understand, create and manage the records of its activities.

This authority is based on the identification and analysis of the business of the Australian Antarctic Division. It takes into account the Division's legal and organisational information management requirements, and the interests of stakeholders, the Division and the National Archives.

The authority sets out those records that need to be retained as national archives and specify the minimum length of time that temporary records need to be kept. This authority gives the Division 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 Division.

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 supersedes the Environmental Management function of 2010/00178266 (2010). The superseded records authority function cannot be used by the Division to sentence records after the date of issue of this authority.
2. Records Authority 2005/00049707 (2005) is revoked.
3. 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 Division 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' are to be transferred to the National Archives for preservation.
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) - Destruction of source or original records after digitisation, conversion or migration (2015).
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 Express version 2. 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.

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 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 Division 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 Division 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 Division 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. Records created digitally after 1 January 2016 can be transferred in digital formats only.
13. Advice on how to use this authority is available from the Division's 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 2022/00410564

Notice of authorisation

Person to whom notice of authorisation is given:

Emma Campbell
Head of Australian Antarctic Division
GPO Box 3090
Canberra City, ACT 2601
Australia

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 Antarctic Environmental Management.

Authority

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.

This document has been authorised through a digital workflow (R490632023)

Authorising Officer



Steven Fox
Assistant Director-General
National Archives of Australia

Date of issue

31 August 2023

ANTARCTIC ENVIRONMENTAL MANAGEMENT

The core business function of regulating and controlling activities to protect and conserve the environment, marine living resources and heritage of Antarctica and the Southern Ocean, including the Australian Antarctic Territory, the Territory of Heard Island and McDonald Islands, as well as activities conducted on Tasmania's Macquarie Island.

The core activities include:

- developing, reviewing and managing environment and heritage management plans and strategies, including those related to the management of special protection or specially managed areas;
- developing, amending and/or revoking environmental protection or conservation orders, declarations or proclamations;
- conducting environment impact assessments for controlled activities in Antarctica, including preliminary, initial and comprehensive assessments;
- managing the issue, renewal, variation, suspension or cancellation of environment and/or heritage permits, licences, registrations, evidentiary certificates, approvals or exemptions. For example, for tourism operators, research scientists, fishers and others undertaking activities in the region;
- monitoring compliance with legislative or regulatory requirements, including through the conduct of environmental and heritage audits and inspections, and investigating possible breaches of compliance;
- planning, coordinating and administering pollution and waste management programs and activities, including Antarctic clean-up programs; negotiating;
- establishing and reviewing agreements, joint ventures or similar partnership arrangements; and
- preparing, providing and receiving advice, briefings and reports to government or stakeholders such as the Commission for the Conservation of Antarctic Marine Living Resources.

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

- developing and implementing policies and procedures;
- establishing, managing and participating in committees, meetings and working groups;
- planning and reporting;
- identifying, assessing and managing risks;
- managing reviews and appeals against decisions; and
- delegating powers and authorising actions.

Cross references to AFDA Express Version 2 Records Authority

For the preparation and passage of legislation through Parliament, participating in formal government inquiries about regulatory matters, or handling and responding to public enquiries about the agency and its programs, products and services, use EXTERNAL RELATIONS.

For development of proposals for new legislation or amendments to existing legislation, use STRATEGIC MANAGEMENT.

For general administrative training for agency staff (not unique to expedition personnel), use PERSONNEL MANAGEMENT.

Cross references to other records authorities

For the development of overarching policy, plans, strategies or agreements (including those under the Antarctic Treaty system) which frame and direct the agency's Antarctic operations and activities, as well as liaising and consulting with and reporting to Treaty parties in accordance with treaty obligations, use ANTARCTIC PROGRAM COORDINATION & GOVERNANCE.

For the appointment of expedition personnel under relevant legislation, including the appointment of inspectors, auditors, examiners, arbitrators etc, use ANTARCTIC EXPEDITIONER MANAGEMENT.

For training resources, material and managing the provision of training for expeditioners, use ANTARCTIC EXPEDITIONER MANAGEMENT.

Classes

Class no	Description of records	Disposal action
63031	<p>Records documenting:</p> <ul style="list-style-type: none"> • developing, approving and reviewing national or other high-level plans and strategies that provide the framework or strategic direction for addressing or managing issues and actions to protect and conserve the environment and heritage, such as heritage management plans, recovery and threat abatement plans, plans for the management of marine reserves, special protected areas or specially managed areas, etc. Includes final versions, major drafts, supporting research, stakeholder consultations, and approvals; • issuing, renewing, suspending and cancelling orders, declarations or proclamations made to protect or conserve the environment or heritage, including in relation to conservation zones (protected areas), historic sites, relics and monuments, international movement of wildlife specimens, wetlands of international importance, Antarctic specially protected or managed areas and world heritage areas. Includes final versions, major drafts and public consultation records; • conducting environmental assessments (including initial, preliminary and comprehensive assessments) of proposed activities, actions, policies, plans or programs. Includes requests and proposals for assessments, supporting data, public consultations and submissions, final decisions and notices; • <i>Excludes scientific data supplied by other agencies to support the conduct of environmental assessments covered in class 63034.</i> processing applications for an approval, permit, licence or similar authorisation, or an 	Retain as national archives

	<p>exemption, in relation to activities in the Antarctic that are:</p> <ul style="list-style-type: none"> ○ approved. Includes variations renewals, suspensions, revocations or cancellations of the authorisation; ○ refused or rejected and considered to be precedent setting, high profile or controversial, or concerning matters with far-reaching environmental, cultural, economic, legal, social, political or international implications. <p>Includes applications, assessments and decisions;</p> <ul style="list-style-type: none"> ● investigations and actions taken in response to breaches of compliance by permit holders where the breach results in an impact to the environment and the issue of a formal letter or notification. Includes initial complaints, notifications or incident reports, preliminary enquiries, results of audits and inspections, interviews and witness statements, investigation reports and findings, and formal letters or notifications issued; <p><i>For all other investigations not described here, use class 63034</i></p> <ul style="list-style-type: none"> ● registers, catalogues, lists or similar summary/control records of environment and heritage activities of: <ul style="list-style-type: none"> ○ environmental or heritage assessments, permits, licences, authorisations, registrations, approvals (or similar arrangements), refusals or rejections considered to be precedent setting, high-profile or controversial etc., or exemptions ○ Specially Protected Areas, Specially Managed Areas, or other gazetted protected areas ○ heritage or historic sites, monuments, artefacts ○ species, communities and habitats, etc. ● pollution and waste clean-up programs and projects where the program or project identify potential or actual long-term risks or residual impacts to the environment or are otherwise considered to have ongoing historical value. Includes proposals, approvals, monitoring, clean up or remediation plans, arrangements for the return of waste to Australia, and, evaluation and review of program or project progress, performance and outcomes; <p><i>For all other programs and projects not described here, use class 63034</i></p> <ul style="list-style-type: none"> ● high-level internal or external committees, meetings or working groups set up to discuss and/or determine environment policy or strategic environment planning matters, and where the agency provides the 	
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Class no	Description of records	Disposal action
	<p>secretariat, chair, or is the Commonwealth's main representative. Includes documents establishing the group, minutes, tabled reports and papers, and assessments and evaluations of committees;</p> <ul style="list-style-type: none"> • committees, meetings or working groups established for organisations such as the Mawson Hut Foundation and the Antarctic Science Foundation where the agency provides the chair, secretariat or the Commonwealth's main representative; • negotiating, establishing and reviewing high-level agreements, memorandums of understanding, joint ventures, treaties (or similar) to which the agency is signatory, such as those which establish major co-operative arrangements or funding arrangements, or commit to national, global or other significant environmental actions; • high-level advice or briefings considered contentious, controversial or of significant interest to government, Parliament and the community. For example, policy advice, or advice and briefings outlining the Australian government's position. Includes final version and major drafts of advice or briefs, position papers, stakeholder submissions and supporting research papers and data; • development or commissioning of national or high-level reports such as those which evaluate or review the effectiveness or performance of environmental activities, update government of international stakeholders in line with environmental obligations, or which otherwise report on environmental matters with far reaching implications. Includes terms of reference, major drafts issued for consultation, background papers, stakeholder submissions, final versions, and research, statistics, accounts or datasets that underpin reports; • developing and reviewing national and international policies and procedures relating to environmental management and heritage practices. Includes final versions, major drafts and results of stakeholder consultations; and • high-level delegations or similar instruments of authority such as those enabling agency staff to exercise Ministerial powers or functions for matters related to the core business. 	
63032	Records documenting:	Destroy 5 years after action completed

Class no	Description of records	Disposal action
	<ul style="list-style-type: none">• committees, meetings or working groups other than those covered in class 63031.• drafts and working papers prepared in the development and review of environment or heritage plans, environmental policies, pollution and waste management programs, formal reports, or committee papers other than those covered in class 63031; and• Rejected requests to approve environmental assessments, permits, licences, authorisations, registrations or other similar permissions.	
63033	Records documenting: <ul style="list-style-type: none">• routine arrangements for scheduling and conduct of committees, taskforces or similar working groups such as meeting notices, venue bookings and arrangements.	Destroy 1 year after action completed
63034	Records documenting: <ul style="list-style-type: none">• routine operational administrative tasks supporting the core business; and• Antarctic environmental management activities, other than those covered in classes 63031 to 63033.	Destroy 10 years after action completed