



Australian Government

National Archives of Australia

Records Authority
2013/00020933

**International Air Services
Commission**

International Air Services Capacity Allocation

May 2013

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INTRODUCTION

The International Air Services Commission (IASC) 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 International Air Services Capacity Allocation. It represents a significant commitment on behalf of the IASC to understand, create and manage the records of its activities.

This Authority is based on the identification and analysis of the business of the IASC. 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 IASC 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 Class 9630 in Records Authority 2004/00616220. Class 9630 cannot be used 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.
 - 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:
 - 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) for source (including original) records that have been copied, converted or migrated.
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 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 IASC 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 IASC 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 IASC 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.
12. Advice on how to use this Authority is available from the IASC 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 2013/00020933

Person to whom notice of authorisation is given:

Dr Jill Walker
Chair
International Air Services Commission
62 Northbourne Avenue
Canberra ACT 2601

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 International Air Services Capacity Allocation.

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:

6 May 2013

INTERNATIONAL AIR SERVICES CAPACITY ALLOCATION

The core business of allocating capacity to Australian airlines for the operation of international airline services and deciding on requests by airlines to vary the way in which the capacity may be used.

Note: The capacity allocated by the agency comes from entitlements available to Australia's international airlines under air services arrangements negotiated between Australia and other countries by the lead portfolio Department.

The core tasks associated with capacity allocation include:

- managing capacity allocation cases, including receiving and assessing applications against public benefit criteria (as set out in policy statements issued by the Minister); requesting further information from applicants; consulting with stakeholders; receiving submissions; conducting hearings; undertaking case-related research; requesting and receiving advice; making determinations for the allocation of capacity and decisions allowing code-sharing; varying, renewing, reviewing, suspending or revoking determinations; and approving transfer applications;
- issuing public notices inviting applications for capacity and submissions about existing applications, and about making determinations;
- handling capacity utilisation requests;
- delegating authority to the agency's delegate to make capacity allocation determinations and decisions on its behalf, and setting associated protocols and policies for the arrangement;
- maintaining indexes and registers, such as the Register of Public Documents containing public versions of applications, submissions and comments for each capacity allocation case being assessed;
- developing and maintaining high-level agreements such as Memoranda of Understanding;
- undertaking research relating to the allocation of capacity;
- managing appeals/reviews against the agency's decisions;
- developing, maintaining and reviewing procedures and guidelines for prospective applicants;
- managing enquiries from stakeholders such as prospective applicants; and
- reporting on current and past cases and other capacity allocation matters.

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

- receiving and responding to routine enquiries;
- managing and participating in internal and external meetings
- developing and implementing routine policies and procedures;
- planning and routine reporting; and
- identifying, assessing and managing risk.

For agency media releases and publicity, use AFDA/AFDA Express – COMMUNITY RELATIONS.

For records concerning meetings and members of the International Air Services Commission, use GRA 27 – GOVERNING BODIES.

For the preparation and passage of the agency's legislation through Parliament, and for advice and submissions to the portfolio Minister in relation to changes to the agency's legislation and Minister's policy statement, use AFDA/AFDA Express GOVERNMENT RELATIONS.

For data and metadata administration use AFDA/AFDA Express – INFORMATION MANAGEMENT.

For agency publications, use AFDA/AFDA Express – PUBLICATION.

For the development of legislative requirements, use AFDA/AFDA Express – STRATEGIC MANAGEMENT.

INTERNATIONAL AIR SERVICES CAPACITY ALLOCATION

For records relating to business systems, use AFDA/AFDA Express – TECHNOLOGY AND TELECOMMUNICATIONS.

Class no	Description of records	Disposal action
61299	<p>The following significant records documenting:</p> <ul style="list-style-type: none"> • procedures and guidelines for prospective applicants; • advice, notices and reports, including legal advice, relating to capacity allocation matters; • undertaking capacity utilisation assessments; • high-level research, including substantive drafts and working papers; • high-level agreements such as Memoranda of Understanding establishing policy and jurisdictional roles with other government agencies. Includes their negotiation, establishment, maintenance and review; • appeals/reviews of the agency's decisions by a higher authority; and • registers and indexes, including summary application data and related data dictionaries. <p><i>[For the Register of Allocated Capacity and related records, use Department of Infrastructure and Transport Records Authority – TRANSPORT REGULATION]</i></p>	Retain as National Archives
61300	<p>Records documenting:</p> <ul style="list-style-type: none"> • applications for capacity and code sharing, and submissions, determinations and decisions in response to these applications. Includes related research, substantive drafts and working papers, and records related to pre-determination conferences; and • delegations of authority and official protocols outlining the management of delegated arrangements. 	Retain in agency for as long as related flight route exists
61301	<p>Records documenting:</p> <ul style="list-style-type: none"> • arrangements for meetings, such as room, facility, phone and video conferencing bookings and arrangements; and • records relating to liaison and enquiries such as those from potential applicants, where an application is not subsequently lodged. 	Destroy 2 years after last action
61302	<p>Records documenting:</p> <ul style="list-style-type: none"> • routine operational administrative tasks supporting the core business; and • international air services capacity allocation core business activities, other than those covered in classes 61299 – 61301. 	Destroy 7 years after last action