Records Authority

Department of Defence

Defence Security

Job no 2005/00170070

12 December 2007
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INTRODUCTION

The Department of Defence and the National Archives of Australia have developed this Records Authority to set out the requirements for the retention or destruction of records for the function of Defence Security. It represents a significant commitment on behalf of the Department to understand, create and manage the records of its activities.

This Authority uses a classification scheme based on an analysis of the business of the agency. It takes into account the Department’s legal and organisational recordkeeping requirements, and the interests of stakeholders of both the Department and the National Archives. It provides a framework that may be used as a guide when creating and managing records that document the Defence Security function.

This Authority gives the Department the permission, required under the Archives Act, for the disposal of the records described. The Authority sets out those records that need to be retained as national archives and the minimum length of time that other classes of records need to be kept. Retention periods are based on an assessment of business needs, broader organisational accountability requirements and community expectations.

The Department can use the following tools to dispose of their records:
- this Records Authority covering the Department's agency specific records;
- general disposal authorities, such as the Administrative Functions Disposal Authority (AFDA), that covers functions and records common to every Commonwealth agency; and
- normal administrative practice (NAP) which allows for the destruction of records where the records are duplicated, unimportant or for short-term use only.

As changes in circumstances may affect future recordkeeping requirements, the periodic review of this Authority is recommended. All amendments must be approved by the National Archives.

Advice on using this Authority and other recordkeeping matters is available from the National Archives’ website at www.naa.gov.au or by contacting the Agency Service Centre at recordkeeping@naa.gov.au or (02) 6212 3610.
AUTHORISATION

RECORDS AUTHORITY

Person to whom notice of authorisation is given:

The Secretary
Department of Defence
Russell Offices
RUSSELL ACT 2600

Purpose:

AUTHORISES ARRANGEMENTS FOR THE DISPOSAL OF RECORDS IN ACCORDANCE WITH SECTION 24(2)(b) OF THE ARCHIVES ACT 1983

Application:

All functional records for:
- Defence Security

This authorisation applies to only the disposal of the records described on the Authority in accordance with the disposal action specified on the Authority. The Authority will apply only if disposal takes place with the consent of the agency that is responsible at the time of disposal for the functions documented in the records concerned.

Authorising Officer

Ross Gibbs
Director-General
National Archives of Australia

Date of issue:

12 December 2007
APPLICATION OF THIS AUTHORITY

1. The classes issued in this Records Authority supersede those in Records Disposal Authority (RDA) 893 and should now be applied to records that meet the class descriptions.

2. RDA 893 is hereby terminated. It cannot be used to destroy or dispose of records created on or after date of issue of this Authority.

3. This Authority should be used in conjunction with the Administrative Functions Disposal Authority (AFDA) issued by the National Archives to cover administrative records common to most Commonwealth agencies.

4. This Authority is to be used to sentence records. Sentencing involves the examination of records in order to identify the individual disposal class to which they belong. This process enables sentencers to determine the appropriate disposal action for the records. Advice on sentencing is available from the National Archives.

5. Records already sentenced under RDA 893 do not need to be resentenced:
   - provided they are retained for the minimum periods set out in the relevant superseding classes, or
   - unless they are already sentenced as ‘retain permanently’ using the previous RDA and fall within the scope of this Authority.

6. 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 used to sentence the records created, providing the records document the same function and activity. The information must be accessible for the period of time prescribed in this Authority. The Department of Defence will need to ensure that any software, hardware or documentation required to enable continuing access to the data is available for the periods prescribed.

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. 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. The Department may destroy certain records without the formal authorisation as a normal administrative practice. This usually occurs where the records are duplicated, unimportant or for short-term use only. It does not replace the records disposal arrangements agreed to in authorities. Advice and guidance on destroying records as a normal administrative practice is available from the National Archives' website at www.naa.gov.au

9. From time to time the National Archives places ‘freezes’ on the disposal of some groups of records, which places a moratorium on the destruction of these records. If you require further information about disposal freezes and whether they affect the application of this Authority, please contact the National Archives.

10. Records in the care of the Department should be appropriately stored and preserved. The Department needs 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 to the public after thirty years.

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 Department’s 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 recordkeeping matters, please contact National Archives’ Agency Service Centre.

Queen Victoria Terrace  
Parkes ACT 2600  
PO Box 7425  
Canberra Mail Centre ACT 2610  
Tel: (02) 6212 3610  
Fax: (02) 6212 3989  
Email: recordkeeping@naa.gov.au  
Website: www.naa.gov.au
**DEFENCE SECURITY**

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

**Acquisition**

The process of gaining ownership or use of property and other items or the provision of services required in the conduct of business through purchase or requisitions.

*For requisitions and purchase order forms, use FINANCIAL MANAGEMENT – Acquisition.*

*For invoices, use FINANCIAL MANAGEMENT – Accounting.*

*For acquisition tenders for specialist security services, data or systems, use DEFENCE SECURITY – Tendering.*

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<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
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</thead>
</table>
| Class no. 12921 | Records documenting the acquisition of security related items and services where there is no tender process. Includes:  
- formal requests for quotes  
- orders  
- responses  
- handover reports  
- routine correspondence and complete forms  
- copies of financial statements | Destroy 7 years after item is disposed of, or service ceases |

Class no. 12922 | Records documenting acquisitions, relating to the defence security function, not proceeded with. Includes investigations. | Destroy 2 years after action completed |

Class no. 12923 | Records documenting the products and services of vendors relating to defence security. | Destroy 1 year after action completed |
DEFENCE SECURITY

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For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Advice

The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.

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<tr>
<th>Entry</th>
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<tbody>
<tr>
<td>Class no. 12924</td>
<td>Records documenting advice provided to Commonwealth, State and Territory government agencies on defence security matters of major importance or significance, ie principal or critical to high level decisions or of agency wide significance or that result in major changes.</td>
<td>Retain as national archives</td>
</tr>
<tr>
<td>Class no. 12925</td>
<td>Records documenting advice provided to Commonwealth, State and Territory government agencies on routine defence security matters.</td>
<td>Destroy 5 years after action completed</td>
</tr>
<tr>
<td>Class no. 12926</td>
<td>Records documenting advice received from Commonwealth, State and Territory government agencies on defence security matters.</td>
<td>Destroy 2 years after action completed</td>
</tr>
</tbody>
</table>
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Application Development

The activities associated with developing software and programming codes to run business applications. Includes specification, testing, pilots, prototyping and metadata requirements.

For the activities of developing, maintaining, supporting and disposing of technical and specialist software applications, systems and databases, use specific activities as appropriate, eg

DEFENCE SECURITY – Application Development
DEFENCE SECURITY – Database Management
DEFENCE SECURITY – Implementation
DEFENCE SECURITY – Operations
DEFENCE SECURITY – Maintenance
DEFENCE SECURITY – Disposal
DEFENCE SECURITY – Installation.

For non-core security corporate business information technology, use TECHNOLOGY AND TELECOMMUNICATIONS.

For security system certification, use DEFENCE SECURITY – Compliance.

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<tr>
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<tbody>
<tr>
<td>Class no. 12927</td>
<td>Records documenting testing of applications against requirements. Includes: test reports, test schedules, responses</td>
<td>Destroy 7 years after evaluation completed or system is defunct, whichever is later</td>
</tr>
<tr>
<td>Class no. 12928</td>
<td>Records documenting development of specific security applications that go into production. Includes: feasibility, pilots, system documentation, application specific data dictionaries, business rules, requirements, specifications, final report</td>
<td>Destroy 5 years after application is defunct</td>
</tr>
</tbody>
</table>
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Application Development – Continued

The activities associated with developing software and programming codes to run business applications. Includes specification, testing, pilots, prototyping and metadata requirements.

For the activities of developing, maintaining, supporting and disposing of technical and specialist software applications, systems and databases, use specific activities as appropriate, eg

DEFENCE SECURITY – Application Development
DEFENCE SECURITY – Database Management
DEFENCE SECURITY – Implementation
DEFENCE SECURITY – Operations
DEFENCE SECURITY – Maintenance
DEFENCE SECURITY – Disposal
DEFENCE SECURITY – Installation.

For non-core security corporate business information technology, use TECHNOLOGY AND TELECOMMUNICATIONS.

For security system certification, use DEFENCE SECURITY – Compliance.

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<tr>
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<tbody>
<tr>
<td>Class no. 12929</td>
<td>Records documenting development of specific security applications, which do not go into production. Includes: • feasibility • pilots • system documentation • application specific data dictionaries • business rules • requirements • specifications • final report</td>
<td>Destroy 2 years after application is discarded</td>
</tr>
</tbody>
</table>
**DEFENCE SECURITY**

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

**Audit**

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skill audits, system audits and quality assurance audits.

For financial audits, use FINANCIAL MANAGEMENT – Audit.

For recordkeeping audits, use INFORMATION MANAGEMENT – Audit.

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<th>Description of Records</th>
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<tbody>
<tr>
<td>Class no. 12930</td>
<td>Final internal and external security audit reports. Includes final reports from audits conducted by the Australian National Audit Office (ANAO) or other external body.</td>
<td>Destroy 5 years after action completed</td>
</tr>
</tbody>
</table>
| Class no. 12931 | Records documenting the planning and conduct of internal and external audits relating to defence security function. Includes:  
• liaison with the auditing body  
• minutes of meetings  
• notes taken at opening and exit interviews  
• draft report  
• comments | Destroy 5 years after action completed |
| Class no. 12932 | Records documenting an audit trail relating to defence security function. Includes:  
• date and time of the event  
• relevant user  
• type of event  
• success or failure of that event | Destroy 1 year after action completed |
DEFENCE SECURITY

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For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Codewords

The activity of allocating a security marking such as codewords, codenames, nicknames and caveats to safeguard information. Includes markings cancellation.

For investigations of breaches of codeword security, use DEFENCE SECURITY – Investigations.

For measures taken for the protection of data, use INFORMATION MANAGEMENT – Security.

For intelligence codeword/caveat special series activities, use General Disposal Authority 21.

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<tr>
<th>Entry</th>
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<th>Disposal Action</th>
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<tr>
<td>Class no. 12933</td>
<td>Records documenting the allocation and use of codewords, codenames, nicknames and/or caveats used in particular operations or projects.</td>
<td>Disposal not authorised</td>
</tr>
<tr>
<td>Class no. 12934</td>
<td>Records documenting the cancellation and return of codewords, codenames, nicknames and/or caveats used in particular operations or projects.</td>
<td>Disposal not authorised</td>
</tr>
</tbody>
</table>
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Committees and Bodies

The activities associated with the management of committees, boards, working parties, working groups and task forces. Includes establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas, etc. Includes groups set up to study issues and exchange ideas.

For major policy and planning committees not specific to security, use STRATEGIC MANAGEMENT – Committees.

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<tr>
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<tbody>
<tr>
<td>Class no. 12935</td>
<td>Records of Defence Security Committees formed to consider matters relating to the defence security function. Includes: documents establishing the committee, final agenda, final versions of minutes, reports, recommendations, supporting documents such as briefing papers and discussion papers</td>
<td>Retain as national archives</td>
</tr>
</tbody>
</table>

| Class no. 12936 | Records of committees where the agency has overall responsibility for making major decisions, or provides significant advice, or is the Commonwealth’s main representative or plays a major role, relating to the defence security function. Includes: documents establishing the committee, final agenda, final versions of minutes, reports, recommendations, supporting documents such as briefing papers and discussion papers | Retain as national archives |
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Committees & Bodies – Continued

The activities associated with the management of committees, boards, working parties, working groups and task forces. Includes establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas, etc. Includes groups set up to study issues and exchange ideas.

For major policy and planning committees not specific to security, use STRATEGIC MANAGEMENT – Committees.

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<tr>
<th>Entry</th>
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<th>Disposal Action</th>
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<tbody>
<tr>
<td>Class no.</td>
<td>Records of committees formed to consider matters relating to the defence security function, where the agency does not have overall responsibility for making major decisions, nor provides significant advice, is not the Commonwealth’s main representative nor plays a major role. Includes:</td>
<td>Destroy 10 years after last action completed</td>
</tr>
<tr>
<td>12937</td>
<td>• documents establishing the committee</td>
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<td></td>
<td>• final agenda</td>
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<td></td>
<td>• final versions of minutes</td>
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<td>• reports</td>
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<td>• recommendations</td>
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<td>• supporting documents such as briefing papers and discussion papers</td>
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Community Liaison

The activities associated with maintaining regular general contact between the organisation and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional and related associations.

For exchange of formal information liaison with other countries, use DEFENCE SECURITY – Cooperation and Ventures.

For collaboration on projects, use DEFENCE SECURITY – Cooperation and Ventures.

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<tr>
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<th>Disposal Action</th>
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<tbody>
<tr>
<td>Class no.</td>
<td>Records documenting liaison activities undertaken with professional associations, private sector organisations and institutions, relating to the defence security function. Includes information exchange and member activities.</td>
<td>Destroy 3 years after action completed</td>
</tr>
<tr>
<td>12938</td>
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</tbody>
</table>
**DEFENCE SECURITY**

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

**Compliance**

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

*For certification of non-core security systems, use TECHNOLOGY AND TELECOMMUNICATION – Security.*

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<tr>
<th><strong>Entry</strong></th>
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<tbody>
<tr>
<td>Class no.</td>
<td>Records documenting the granting of dispensation to standards, relating to the defence security function.</td>
<td>Destroy 15 years after standard or benchmark superseded or otherwise terminated, or last action completed, whichever is later.</td>
</tr>
<tr>
<td>12939</td>
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</tr>
<tr>
<td>Class no.</td>
<td>Records documenting inspections of security sites in relation to compliance with mandatory or optional standards or with statutory requirements relating to the defence security sites. Includes: certification inspection reports, monitoring reports, countermeasure test results.</td>
<td>Destroy 5 years after action completed or inspection completed, whichever is later.</td>
</tr>
<tr>
<td>12940</td>
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</tr>
<tr>
<td>Class no.</td>
<td>Records documenting certification and accreditation of information systems in accordance with defence security policy.</td>
<td>Destroy 5 years after system defunct or last action completed, whichever is later.</td>
</tr>
<tr>
<td>12941</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Class no.</td>
<td>Records documenting inspections in relation to compliance with mandatory or optional standards, or with statutory requirements not relating to defence security sites or systems.</td>
<td>Destroy 5 years after action completed.</td>
</tr>
<tr>
<td>12942</td>
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DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Conferences

The activities involved in arranging or attending conferences held either by the organisation or by other organisations. Includes registrations, publicity and reports of participants etc.

For threat assessment for conferences, use DEFENCE SECURITY – Threat Assessment.

For conference security plans, use DEFENCE SECURITY – Planning.

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<tbody>
<tr>
<td>Class no. 12943</td>
<td>Records of unpublished proceedings of conferences relating to the defence security function conducted by the agency.</td>
<td>Destroy 100 years after last action, pending review by the Secretary</td>
</tr>
<tr>
<td>Class no. 12944</td>
<td>Records documenting arrangements for conferences and forums relating to the defence security function conducted by the agency. Includes: • program development • arranging speakers • promotion • managing registrations • venue bookings • security arrangements • copies of financial statements</td>
<td>Destroy 3 years after action completed</td>
</tr>
<tr>
<td>Class no. 12945</td>
<td>Records documenting the attendance by agency personnel at conferences arranged by other organisations, related to the defence security function. Includes participants’ reports.</td>
<td>Destroy 3 years after action completed</td>
</tr>
</tbody>
</table>
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Contracting-out

The activities involved in managing the performance of work or the provision of goods and service by an external contractor, vendor or consultant, or by using external bureau services. Includes outsourcing.

For security vetting for contractors, use DEFENCE SECURITY – Vetting.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class no. 12946</td>
<td>Records documenting the management of contracts related to the defence security function. Includes managing contractors employed to carry out vetting services and undertake performance appraisals. Includes minutes of meetings with stakeholders and performance and evaluation reports.</td>
<td>Destroy 7 years after completion or other termination of contract or last action completed, whichever is later</td>
</tr>
</tbody>
</table>

[For final contracts, use DEFENCE SECURITY – Tendering.]

Cooperation and Ventures

The activities involved in managing cooperation, ventures, commercialisation and collaboration. Includes arrangements between sections or units, either within Defence or with other organisations, industry or governments. Also includes arrangements where there is an agreement, alliance, Memorandum of Understanding, contract, joint contribution of funds and/or time and co-research. Includes technical cooperation programs.

For committee meetings, use DEFENCE SECURITY – Committees and Bodies.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class no. 12947</td>
<td>Final signed versions of cooperative ventures. Includes those made under the Defence Industrial Security Program.</td>
<td>Retain as national archives</td>
</tr>
</tbody>
</table>

| Class no. 12948 | Records documenting the negotiation and development of Defence involvement in cooperative ventures, agreements, alliances, Memoranda of Understanding and contracts. Includes those made under the Defence Industrial Security Program. | Destroy 7 years after completion or other termination of agreement or contract |
**DEFENCE SECURITY**

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

**Database Management**

The activities associated with the building, prototyping and testing of databases. Includes the management of user rules, passwords and monitoring usage and response times.

For records management, use INFORMATION MANAGEMENT.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class no. 12949</td>
<td>Records documenting testing activities for security databases.</td>
<td>Destroy 7 years after testing completed or system is defunct, whichever is later</td>
</tr>
</tbody>
</table>

| Class no. 12950 | Records documenting specific security database management. Includes: building, prototyping, testing, change requests, configuration management | Destroy 7 years after last action completed or after standard etc is superseded or cancelled, whichever is later |

**Distribution**

The activities associated with disseminating items, correspondence or publications through sales, deliveries or other customer services.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class no. 12951</td>
<td>Records documenting distribution of security products, including security manuals and awareness products. Includes: correspondence, requests, deliveries, address lists</td>
<td>Destroy 1 year after last action completed</td>
</tr>
</tbody>
</table>
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Drafting

The activities associated with preparing preliminary drafts or outlines of addresses, reports, articles, plans, sketches etc prior to production.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class no. 12952</td>
<td>Outputs related to developing preliminary drafts and outlines of plans. Includes drafts and comments.</td>
<td>Destroy 3 years after plan issued, cancelled or superseded, whichever is later</td>
</tr>
<tr>
<td>Class no. 12953</td>
<td>Records documenting preliminary drafts and outlines, process of addresses, lectures, briefings and presentations. Includes drafts and comments.</td>
<td>Destroy 1 year after final addresses, lectures, briefings and presentations issued, cancelled or superseded, whichever is later</td>
</tr>
<tr>
<td>Class no. 12954</td>
<td>Records documenting the preliminary drafts and outlines process of security products including security manuals and awareness products. Includes: • correspondence • drafts • comments</td>
<td>Destroy 1 year after product issued, cancelled or superseded, whichever is later</td>
</tr>
</tbody>
</table>

[For final plans, use DEFENCE SECURITY – Planning.]

[For final drafts, use DEFENCE SECURITY – Lectures and Presentations.]

[For final drafts, use DEFENCE SECURITY – Product Development.]
**DEFENCE SECURITY**

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

**Evaluation**

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes systems analysis and ongoing monitoring.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class no. 12955</td>
<td>Records documenting the evaluation of security systems. Includes evaluation and data migration reports.</td>
<td>Destroy 7 years after system superseded or evaluation completed or otherwise terminated, whichever is later</td>
</tr>
<tr>
<td>Class no. 12956</td>
<td>Records documenting the evaluation of security products. Includes evaluation reports.</td>
<td>Destroy 7 years after product superseded or evaluation completed or otherwise terminated, whichever is later</td>
</tr>
<tr>
<td>Class no. 12957</td>
<td>Records documenting the evaluation of potential or existing security policy, procedures, performance, activities and programs. Includes evaluation reports.</td>
<td>Destroy 5 years after evaluation completed</td>
</tr>
</tbody>
</table>
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Implementation

The activities associated with carrying out or putting into action, plans, policies, procedures or instructions, all of which could be internally or externally driven. Includes manual or automated databases, applications or systems, but excludes the installation of equipment. Also includes monitoring to ensure that the implementation goes according to schedule and that standards are met and first aid treatment.

For policy development, use DEFENCE SECURITY – Policy & Procedures.

For working papers and final versions of plans, use DEFENCE SECURITY – Planning.

For installation of Defence security system equipment, use DEFENCE SECURITY – Installation.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class no. 12958</td>
<td>Records documenting the implementation of major security plans, policies and procedures of agency wide significance or that result in major changes relating to the defence security function. Includes the implementation of defence protective security plans and counter disaster plans.</td>
<td>Retain as national archives</td>
</tr>
</tbody>
</table>

| Class no. 12959 | Records documenting the implementation of minor or local security plans, policies and procedures relating to the defence security function. | Destroy 5 years after last action completed |

| Class no. 12960 | Records documenting the implementation of major security databases, applications and systems relating to the defence security function. Includes: • procedures • monitoring • counter disaster plans | Destroy 5 years after database, application or system is defunct or last action completed, whichever is later |

| Class no. 12961 | Records documenting the management of security aspects of projects. | Destroy 5 years after project completed or ceased, or last action completed, whichever is later |

| Class no. 12962 | Records documenting project management of all security projects. | Destroy 5 years after project completed or ceased, whichever is later |
**DEFENCE SECURITY**

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

**Installation**

Activities involved in placing equipment in position and connecting and adjusting it for use.

<table>
<thead>
<tr>
<th>Entry</th>
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</thead>
</table>
| Class no. 12963 | Records documenting installation and configuration of core security systems, telecommunications and software, and system related equipment. Includes:  
- installation  
- configuration and reconfiguration  
- relocation  
- cabling from wall socket to device  
- configuring network hubs  
- configuring software | Destroy 5 years after system or software is defunct |

Class no. 12964 | Records documenting the installation and configuration of security equipment other than core system related. Includes calibration and testing. | Destroy 2 years after equipment disposed of |
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Investigations

The activities associated with investigating and reporting on accidents, incidents, and occurrences. Includes security breaches, fraud, safety issues and military police investigations.

For formal inquiries, use GOVERNMENT RELATIONS – Inquiries.

For results of investigations recorded in Unit Security Registers, use DEFENCE SECURITY – Implementation.

For investigating threat assessment, use DEFENCE SECURITY – Threat Assessment.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
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</thead>
<tbody>
<tr>
<td>Class no. 12965</td>
<td>Records documenting investigations into major breaches, espionage, sabotage, subversion, and terrorism, which may or may not result in legal proceedings. Major breaches include: removal of highly classified material from official custody; loss of information classified CONFIDENTIAL and above; actual or suspected compromise of information classified CONFIDENTIAL and above, other than by loss, including tampering with security containers; actual or suspected hacking into any information system; loss, compromise, suspected compromise, theft and attempted theft of classified equipment; loss or compromise of keys to security locks or of combination settings; loss, theft, attempted theft, recovery or suspicious incidents involving arms, ammunition, and explosives, break-ins or attempted break-ins to armouries, magazines, bulk weapon stores or explosives stores houses and divulgence of classified information etc. Includes: • requests • breach reports • incident reports • investigation process • investigation findings • actions • copies of legal proceedings.</td>
<td>Retain as national archives</td>
</tr>
</tbody>
</table>

[For conduct of legal proceedings, use LEGAL SERVICES.]
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Investigations – Continued

The activities associated with investigating and reporting on accidents, incidents, and occurrences. Includes security breaches, fraud, safety issues and military police investigations.

For formal inquiries, use GOVERNMENT RELATIONS – Inquiries.

For results of investigations recorded in Unit Security Registers, use DEFENCE SECURITY – Implementation.

For investigating threat assessment, use DEFENCE SECURITY – Threat Assessment.

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<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class no. 12966</td>
<td>Register of major investigations.</td>
<td>Retain as national archives</td>
</tr>
<tr>
<td>Class no. 12967</td>
<td>Statistics of major investigations.</td>
<td>Retain as national archives</td>
</tr>
</tbody>
</table>
| Class no. 12968 | Records documenting investigations into minor breaches, relating to the defence security function, which do not result in the laying of charges, or where sabotage is not suspected including not securing classified material when absent from offices, incorrect storage of wafer seals and not securing safes or key cabinets. Includes:  
  - requests  
  - minor breach report  
  - investigation process  
  - investigation findings  
  - correspondence  
  - instructions | Destroy 5 years after investigation completed or otherwise terminated or last action completed, whichever is later |
| Class no. 12969 | Register of minor investigations. | Destroy 5 years after last entry |
| Class no. 12970 | Statistics of minor investigations. | Destroy 5 years after last entry |
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Lectures and Presentations

The activity of preparing and delivering presentations for training, professional, public relations, policy or program promotion. Includes addresses, speeches, lectures, briefs, seminars and multi-media presentations.

For preliminary drafts, use DEFENCE SECURITY – Drafting.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class no. 12971</td>
<td>Final versions of major lectures, briefs and presentations for promotions, conferences and lectures supporting the defence security function, delivered by senior agency staff.</td>
<td>Retain as national archives</td>
</tr>
<tr>
<td>Class no. 12972</td>
<td>Final versions of minor lectures, briefs and presentations for promotions, conferences and lectures supporting the defence security function, delivered by officers other than senior agency staff.</td>
<td>Destroy 6 years after last action completed</td>
</tr>
</tbody>
</table>
| Class no. 12973 | Records documenting the preparation of addresses, lectures, briefings and presentations relating to the defence security function. Includes:  
• final drafts  
• working papers  
• final comments | Destroy 1 year after last action completed |
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Maintenance

The activities associated with the upkeep, repair, servicing, modification and preservation of internal or external conditions of premises, equipment, vehicles etc.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
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</thead>
</table>
| Class no. 12974 | Records documenting maintenance of specific security systems hardware. Includes:  
- requests  
- change documentation  
- reports | Destroy 5 years after system is superseded |

| Class no. 12975 | Records documenting maintenance of specific security equipment and stores other than hardware. Includes:  
- requests  
- change documentation  
- reports | Destroy 3 years after equipment is disposed of or last action completed, whichever is later |

Marketing

The process of analysing, creating and selling products and services. Includes market research, sales forecasting, advertising, media releases, promotion, and pricing and product evaluation.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
</table>
| Class no. 12976 | Records documenting marketing security products eg. security manuals and awareness product. Includes:  
- promotion  
- displays  
- advertising  
- launches | Destroy 5 years after last action completed |
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Operations

The activities associated with keeping computer systems in effective operation on a daily basis. Includes fault reporting, help and desktop support.

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<tr>
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<th>Disposal Action</th>
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</thead>
<tbody>
<tr>
<td>Class no.</td>
<td>Records documenting help desk technical operations. Includes:</td>
<td>Destroy 7 years after last action completed</td>
</tr>
<tr>
<td>12977</td>
<td>technical assistance, arrangements, procedures</td>
<td></td>
</tr>
</tbody>
</table>

| Class no. | Records documenting help desk services. Includes: | Destroy 1 year after last action completed |
| 12978 | advice, requests, responses | |

Planning

The process of formulating ways in which objectives can be achieved. Includes determination for services, needs and solutions to those needs.

For assigning of codewords developed in plans, use DEFENCE SECURITY – Codewords.

For implementation of plans, use DEFENCE SECURITY – Implementation.

For preliminary drafts, use DEFENCE SECURITY – Drafting

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class no.</td>
<td>Final versions of agency wide defence security plans and major working papers that are principal or critical to high level decisions or of agency wide significance or that result in major changes.</td>
<td>Retain as national archives</td>
</tr>
<tr>
<td>12979</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| Class no. | Final versions and major working papers of local, section, business unit, regional, local or routine defence security plans. | Destroy 7 years after plan is superseded or last action completed, whichever is later |
| 12980 | | |
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Planning – Continued

The process of formulating ways in which objectives can be achieved. Includes determination for services, needs and solutions to those needs.

For assigning of codewords developed in plans, use DEFENCE SECURITY – Codewords.

For implementation of plans, use DEFENCE SECURITY – Implementation.

For preliminary drafts, use DEFENCE SECURITY – Drafting

<table>
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<tr>
<th>Entry</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Class no.</td>
<td>Records documenting development of all defence security plans, excluding major working papers. Includes:</td>
<td>Destroy 3 years after plan is superseded or last action completed, whichever is later</td>
</tr>
<tr>
<td>12981</td>
<td>• minor working papers • final drafts • final comments</td>
<td></td>
</tr>
<tr>
<td>Class no.</td>
<td>Records documenting routine administrative matters relating to defence security planning. Includes:</td>
<td>Destroy 3 years after plan is superseded or last action completed, whichever is later</td>
</tr>
<tr>
<td>12982</td>
<td>• correspondence • arrangements • dissemination</td>
<td></td>
</tr>
</tbody>
</table>
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Policy and Procedures

The activity of developing and establishing overall policy and procedures. The activity of developing and establishing Defence Force decisions, directions, and precedents, which act as a reference for future decision making, and the resulting Defence Force operating procedures. Includes surveys and research resulting in policy change.

For major policy committees, use STRATEGIC MANAGEMENT – Committees.

For implementation of policies and procedures, use DEFENCE SECURITY – Implementation.

For master sets of security products, use DEFENCE SECURITY – Product Development.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class no. 12983</td>
<td>Master sets of defence security manuals.</td>
<td>Retain as national archives</td>
</tr>
<tr>
<td>Class no. 12984</td>
<td>Master sets of defence security instructions.</td>
<td>Retain as national archives</td>
</tr>
<tr>
<td>Class no. 12985</td>
<td>Records documenting the development and establishment of principal defence agency wide security policies and major operating procedures such as defence security manuals of instructions. Includes: minutes of meetings, administrative arrangements, correspondence, working papers, drafts, comments</td>
<td>Destroy when incorporated in a manual or Defence instruction, or destroy 10 years after policy or procedure superseded or cancelled</td>
</tr>
<tr>
<td>Class no. 12986</td>
<td>Records documenting the development and establishment of State/Regional or local security policies and procedures relating to defence security. Includes minutes of meetings, administrative arrangements, correspondence, working papers, drafts, comments</td>
<td>Destroy 6 years after policy or procedure superseded or last action completed, whichever is later</td>
</tr>
</tbody>
</table>
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Policy and Procedures – Continued

The activity of developing and establishing overall policy and procedures. The activity of developing and establishing Defence Force decisions, directions, and precedents, which act as a reference for future decision making, and the resulting Defence Force operating procedures. Includes surveys and research resulting in policy change.

For major policy committees, use STRATEGIC MANAGEMENT – Committees.

For implementation of policies and procedures, use DEFENCE SECURITY – Implementation.

For master sets of security products, use DEFENCE SECURITY – Product Development.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class no. 12987</td>
<td>Master sets of instructions and procedures, other than Defence Security Instructions, eg. Departmental circular memoranda, and DEFGRAMS, relating to the defence security function.</td>
<td>Destroy when incorporated in a manual or Defence instruction, otherwise destroy 5 years after superseded or cancelled</td>
</tr>
<tr>
<td>Class no. 12988</td>
<td>Copies of security policies and procedures.</td>
<td>Destroy 2 years after last accessed</td>
</tr>
</tbody>
</table>
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Product Development

The process involved in developing a product. Includes design, layout, liaison and product issue.

For publishing security products other than the Defence security manuals and security awareness products, use PUBLICATION.

For development of security policy and procedures, use DEFENCE SECURITY – Policy and Procedures.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
</table>
| Class no. 12989 | Final versions or master copies of security products excluding Defence security manuals, Defence security instructions, and intranet products. Includes:  
  - physical products  
  - online version products, eg. electronic newsletters on website  
  - digital products  
  - photographic and film products | Destroy 100 years after last action, pending review by the Secretary |

Class no. 12990 | Master copies of security products not for public release or publishing. Includes:  
  - physical products  
  - online products  
  - digital products  
  - photographic and film products | Destroy 100 years after last action, pending review by the Secretary |

[For security products for public release or publication, use PUBLICATION.]

Class no. 12991 | Master copies of security products only in electronic format on Defence's Intranet. | Destroy 100 years after last action, pending review by the Secretary |
# DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

## Product Development – Continued

The process involved in developing a product. Includes design, layout, liaison and product issue.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
</table>
| Class no. 12992 | Records documenting paper, electronic, digital, film, video and photographic product development. Includes:  
• working papers  
• minutes  
• final drafts  
• design  
• printing  
• binding  
• correspondence  
• requests  
• proof reading  
• updating  
• maintenance  
• liaison | Destroy 1 year after product issued, cancelled or superseded, whichever is later |

[For preliminary drafts, use DEFENCE SECURITY – Drafting.]
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Registering

The activity of listing and indexing personnel for purposes other than file retrieval.

Note: 'Personnel' includes employees or associates of Defence industry or any external contractor, vendor or consultant to Defence.

For registers of visitor passes, use COMMUNITY RELATIONS – Security.

For risk registers, use DEFENCE SECURITY – Risk Management.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class no. 12993</td>
<td>Registers of clearances and passes issued to employees or associates of Defence industry or any external contractor, vendor or consultant to Defence. Includes cancellations and amendments.</td>
<td>Destroy 20 years after last entry</td>
</tr>
<tr>
<td>Class no. 12994</td>
<td>Registers of security officer investigation case lists or files.</td>
<td>Destroy 7 years after last entry</td>
</tr>
<tr>
<td>Class no. 12995</td>
<td>Registers of clearances and passes issued to foreign nationals and foreign military personnel. Includes cancellations and amendments.</td>
<td>Destroy 5 years after last entry</td>
</tr>
</tbody>
</table>
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements, or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

For reports on security audits, use DEFENCE SECURITY – Audit.

For reports on accidents, incidents and occurrences, use DEFENCE SECURITY – Investigations.

For reports on security breaches, fraud and safety issues, use DEFENCE SECURITY – Investigations.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class no. 12996</td>
<td>Final versions of formal reports made to external authorised bodies or the Australian Government. Includes major working papers principal or critical to high level decisions, of agency wide significance or that result in major changes.</td>
<td>Retain as national archives</td>
</tr>
<tr>
<td>Class no. 12997</td>
<td>Records documenting major surveys with substantial action carried out.</td>
<td>Retain as national archives</td>
</tr>
<tr>
<td>Class no. 12998</td>
<td>Records documenting minor surveys with no substantial action carried out.</td>
<td>Destroy 7 years after report is produced or last action completed, whichever is later</td>
</tr>
<tr>
<td>Class no. 12999</td>
<td>Final versions of periodic internal or routine reports on general administrative matters and recurring activities. Includes major working papers principal or critical to high level decisions, of agency wide significance or that result in major changes.</td>
<td>Destroy 7 years after report is produced or last action completed, whichever is later</td>
</tr>
<tr>
<td>Class no. 13000</td>
<td>Reports of visits conducted by Defence Executives relating to the defence security function.</td>
<td>Destroy 7 years after report is produced or last action completed, whichever is later</td>
</tr>
</tbody>
</table>
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Reporting – Continued

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements, or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

For reports on security audits, use DEFENCE SECURITY – Audit.

For reports on accidents, incidents and occurrences, use DEFENCE SECURITY – Investigations.

For reports on security breaches, fraud and safety issues, use DEFENCE SECURITY – Investigations.

<table>
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<tr>
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<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class no. 13001</td>
<td>Reports of visits conducted by personnel other than by Defence Executives, relating to the defence security function.</td>
<td>Destroy 3 years after report is produced or last action completed, whichever is later</td>
</tr>
</tbody>
</table>

Class no. 13002

Records documenting development of all reports. Includes:

- minor working papers
- drafts
- comments

Destroy 2 years after report is produced or last action completed, whichever is later.

Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
</table>
| Class no. 13003 | Records documenting the review of programs, services, products and operations that have a high government or public profile or are controversial or result in major changes in the direction of administration of programs and operations, relating to the defence security function. Includes:
- notification
- documents supporting the review
- final report
- action plan | Retain as national archives |
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Reviewing – Continued

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

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<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class no. 13004</td>
<td>Records documenting the participation in the review of activities relating to defence security function carried out by other agencies. Includes: notification, documents supporting the review, final report</td>
<td>Destroy 5 years after review completed or last action completed, whichever is later</td>
</tr>
<tr>
<td>Class no. 13005</td>
<td>Records documenting the review of products relating to the defence security function that do not have a high government or public profile, are not controversial or do not result in major changes in direction of administration of programs and operations.</td>
<td>Destroy 5 years after product superseded or ceases or last action completed, whichever is later</td>
</tr>
<tr>
<td>Class no. 13006</td>
<td>Records documenting the periodic reviews of protective security in Defence, eg Protective Security Reviews. Includes periodic security reviews.</td>
<td>Destroy 2 years after review completed or last action completed, whichever is later</td>
</tr>
<tr>
<td>Class no. 13007</td>
<td>Records documenting review of agency programs, operations and services supporting the defence security function that do not have a high government or public profile, are not controversial or do not result in major changes in direction of administration of programs and operations. Includes: working papers, draft reports, comments</td>
<td>Destroy 2 years after review completed or last action completed, whichever is later</td>
</tr>
</tbody>
</table>
**DEFENCE SECURITY**

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

**Risk Management**

The process involving the identification of risks, the likelihood and consequences of those risks and the implementation of appropriate practice and procedures to treat risks.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class no. 13008</td>
<td>Final version of security risk management plan.</td>
<td>Destroy 100 years after last action, pending review by the Secretary</td>
</tr>
</tbody>
</table>
| Class no. 13009 | Records documenting risk management relating to the defence security function. Includes:  
• risk analysis  
• priorities  
• risk treatment schedules  
• monitoring  
• action plans | Destroy 7 years after next risk assessment or last action completed, whichever is later |
| Class no. 13010 | Risk register relating to the defence security function. | Destroy 7 years after next risk assessment or last action completed, whichever is later |
DEFENCE SECURITY
The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Security Systems Disposal
The process of disposing of property no longer required by the organisation, by sale, transfer, termination of lease, auction, donation or destruction.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class no. 13011</td>
<td>Records documenting disposal of Commonwealth owned security systems. Includes: • valuation • certificate of valuation • written quotes • auction records • sales records • correspondence and forms for disposal</td>
<td>Destroy 7 years after disposal of asset</td>
</tr>
</tbody>
</table>

| Class no. 13012 | Records documenting disposal of leased security systems. Includes: • notices and correspondence to leasing companies • handover reports • notification of lease | Destroy 3 years after disposal of asset |
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

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For security clearances of service personnel, use MILITARY PERSONNEL – Security.

**Standard Setting**

The process of developing and promulgating standards, benchmarks, guidelines and best practice frameworks. Includes implementing industry standards and organisational standards etc for service and processes to enhance the quality and efficiency of the organisation.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class no. 13013</td>
<td>Final versions or master sets of developed mandatory or optional standards, best practice or benchmarks, relating to the defence security function.</td>
<td>Retain as national archives.</td>
</tr>
<tr>
<td>Class no. 13014</td>
<td>Records documenting the development of mandatory or optional standards, best practice or benchmarks, relating to the defence security function. Includes drafts and comments.</td>
<td>Destroy 50 years after standard or benchmark superseded or otherwise terminated, or last action completed, whichever is later.</td>
</tr>
<tr>
<td>[For records documenting the granting of dispensation to certain defence standards, use DEFENCE SECURITY-Compliance.]</td>
<td></td>
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</tr>
<tr>
<td>Class no. 13015</td>
<td>Records documenting the promulgation of mandatory or optional standards, best practice or benchmarks, relating to the defence security function.</td>
<td>Destroy 15 years after standard or benchmark superseded or otherwise terminated, or last action completed, whichever is later.</td>
</tr>
</tbody>
</table>
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

**Tendering**

The activities involved in receiving and assessing tenders, of making offers and finalising by contracting arrangements for the sale or purchase of goods and services.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class no. 13016</td>
<td>Signed contracts under seal resulting from tenders and supporting records: Western Australia.</td>
<td>Destroy 20 years after completion or other termination of contract</td>
</tr>
<tr>
<td>Class no. 13017</td>
<td>Signed contracts under seal resulting from tenders and supporting records: Victoria and South Australia.</td>
<td>Destroy 15 years after completion or other termination of contract</td>
</tr>
<tr>
<td>Class no. 13018</td>
<td>Signed contracts under seal resulting form tenders and supporting records: New South Wales, Queensland, Tasmania, Australian Capital Territory and Northern Territory.</td>
<td>Destroy 12 years after completion or other termination of contract</td>
</tr>
<tr>
<td>Class no. 13019</td>
<td>Signed simple contracts and agreements resulting from tenders. Includes supporting records.</td>
<td>Destroy 7 years after completion or other termination of contract</td>
</tr>
<tr>
<td>Class no. 13020</td>
<td>Tender and contract registers.</td>
<td>Destroy 7 years after last entry</td>
</tr>
<tr>
<td>Class no. 13021</td>
<td>Records documenting the development and issue of tender documentation relating to tendering for the performance of services relating to the defence security function. Includes: • statement of requirements • request for proposals • expressions of interest • request for tender • draft contract</td>
<td>Destroy 7 years after tender process finalised or otherwise terminated or last action completed, whichever is later</td>
</tr>
</tbody>
</table>
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Tendering – Continued

The activities involved in receiving and assessing tenders, of making offers and finalising by contracting arrangements for the sale or purchase of goods and services.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
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</thead>
<tbody>
<tr>
<td>Class no.</td>
<td>13022</td>
<td>Records documenting evaluation of tenders against selection criteria, relating to the defence security function. Includes:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• arrangements for carrying out the evaluation process</td>
</tr>
<tr>
<td></td>
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<td>• evaluation reports</td>
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<td></td>
<td></td>
<td>• recommendations</td>
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<td></td>
<td>• final report</td>
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<td></td>
<td></td>
<td>• public notices</td>
</tr>
<tr>
<td>Class no.</td>
<td>13023</td>
<td>Records documenting post-offer negotiations and due diligence checks relating to the defence security function</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Class no.</td>
<td>13024</td>
<td>Records of unsuccessful tenders or a tender process where there is no suitable bidder, or where the tender process has been discontinued, relating to the defence security function. Includes:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• submissions</td>
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<tr>
<td></td>
<td></td>
<td>• notification of outcome</td>
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<td></td>
<td></td>
<td>• reports on debriefing sessions</td>
</tr>
</tbody>
</table>
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Threat Assessment

The activities of assessment and analysis of threats to Australian defence security from individuals, organisations or other countries, other than intelligence matters. Includes assessment of unsolicited calls and correspondence.

For intelligence related threat assessment, use General Disposal Authority 21.

For formal investigations, use DEFENCE SECURITY – Investigations.

For risk assessment of the security process, use DEFENCE SECURITY – Risk Management.

For government inquiries, use GOVERNMENT RELATIONS – Inquiries.

<table>
<thead>
<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>Class no. 13025</td>
<td>Records documenting the assessment of individuals, organisations and nations assessed as a potential threat to defence security. Includes: • requests • information collection • information analysis • liaison process • comments • threat assessment</td>
<td>Retain as national archives</td>
</tr>
<tr>
<td>Class no. 13026</td>
<td>Records documenting annual threat assessments. Includes annual threat assessment and areas of concern.</td>
<td>Retain as national archives</td>
</tr>
<tr>
<td>Class no. 13027</td>
<td>Records documenting the assessment of individuals, organisations and nations assessed as not posing a potential threat to defence security. Includes: • requests • information collection • information analysis • threat assessment</td>
<td>Destroy 1 year after last action completed</td>
</tr>
<tr>
<td>Class no. 13028</td>
<td>Records documenting unsolicited correspondence and telephone calls relating to threat assessment. Includes information analysis and threat assessment.</td>
<td>Destroy 1 year after last action completed</td>
</tr>
</tbody>
</table>
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Threat Assessment - Continued

The activities of assessment and analysis of threats to Australian defence security from individuals, organisations or other countries, other than intelligence matters. Includes assessment of unsolicited calls and correspondence.

For intelligence related threat assessment, use General Disposal Authority 21.

For formal investigations, use DEFENCE SECURITY – Investigations.

For risk assessment of the security process, use DEFENCE SECURITY – Risk Management.

For government inquiries, use GOVERNMENT RELATIONS – Inquiries.

<table>
<thead>
<tr>
<th>Entry</th>
<th>Description of Records</th>
<th>Disposal Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class no. 13029</td>
<td>Copies of regional threat assessments relating to defence security. Includes collation material.</td>
<td>Destroy 1 year after last action completed</td>
</tr>
</tbody>
</table>
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Vetting

The activity of vetting and managing clearances for external individuals, organisations, foreign military aircraft and ships. Includes unsuccessful, revoked or suspended clearances. Also includes personnel, visit and travel clearances. Individuals include personnel not covered by the Defence Act 1903 or the Public Service Act 1999.

For registers of related clearances and passes, use DEFENCE SECURITY – Registering.

For agency staff security vetting and clearances, use PERSONNEL – Security.

For service members security vetting and clearances, use MILITARY PERSONNEL – Security.

For clearances for the export of Defence material, use other disposal authorities as appropriate.

For visitor passes, use COMMUNITY RELATIONS – Security.

For security investigations, use DEFENCE SECURITY – Investigations.

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<tr>
<th>Entry</th>
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<th>Disposal Action</th>
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</thead>
</table>
| Class no. 13030 | Records documenting security vetting. Includes:  
• initial security check  
• pre appointment or periodic review security clearances  
• personal particulars  
• correspondence, character and police record checks  
• clearance to visit Defence establishments or ships  
• clearance for access to security classified information  
• copy of appeals  
• interview reports  
• pass receipts  
• declaration of secrecy on cessation | Destroy 20 years after cessation of contract with Defence, or on notification of death or last action is completed, whichever is sooner |
| Class no. 13031 | Records documenting the coordination and/or clearance for foreign military aircraft/ships and materiel operating in or visiting Australian territory. Includes:  
• requests  
• determinations  
• application processes  
• notification of confirmation of clearance to host organisation  
• notification to Australian Customs of visiting ships/ aircraft  
• initial and periodic reviews  
• diplomatic clearances  
• registers of clearance and details | Destroy 10 years after last action completed |
DEFENCE SECURITY

The function of developing, implementing and reviewing standards, policies, systems and products relating to Defence protective security. Includes external vetting and clearances, threat assessments and over-seeing security within the Defence organisation and associated industry. Also includes advising on risk management, evaluating and monitoring security performance, establishing and maintenance of international security instruments, investigations and managing security of non-intelligence special compartmented information.

For all intelligence activities, including intelligence codeword / caveat special series records, use General Disposal Authority 21.

For financial resources related to security, use FINANCIAL MANAGEMENT.

For government inquiries into security issues, use GOVERNMENT RELATIONS – Inquiries.

For security training for civilians, use STAFF DEVELOPMENT – Training.

For registers of security clearances held by agency staff, use PERSONNEL – Security.

For security clearances of service personnel, use MILITARY PERSONNEL – Security.

Vetting – Continued

The activity of vetting and managing clearances for external individuals, organisations, foreign military aircraft and ships. Includes personnel, visit and travel clearances. Individuals include personnel not covered by the Defence Act 1903 or the Public Service Act 1999.

For registers of related clearances and passes, use DEFENCE SECURITY – Registering.

For agency staff security vetting and clearances, use PERSONNEL – Security.

For service members security vetting and clearances, use MILITARY PERSONNEL – Security.

For clearances for the export of Defence material, use other disposal authorities as appropriate.

For visitor passes, use COMMUNITY RELATIONS – Security.

For security investigations, use DEFENCE SECURITY – Investigations.

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</table>
| Class no. | 13032 | Records documenting the administration of issuing of security passes to employees or associates of Defence industry or any external contractor, vendor or consultant to Defence. Includes:  
• requests  
• determinations  
• notification of confirmation of clearance to host organisation | Destroy 5 years after pass expires |

| Class no. | 13033 | Records documenting the issue of visit/travel clearances for foreign nationals and foreign military personnel. Includes:  
• requests  
• determinations  
• clearances  
• initial and periodic reviews  
• vetting security record  
• notification of confirmation of clearance to host organisation | Destroy 5 years after last action completed or clearance expires |