

**Records Disposal
Authority**
Department of Defence
Military personnel
Source records that have been copied

Job no 2002/05089053

8 April 2003



**NATIONAL
ARCHIVES
OF AUSTRALIA**

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INTRODUCTION

The object of the authority is to:

- permit the destruction of records, in certain categories, that for all intents and purposes have been made redundant by the production and use of acceptable copies managed to adequate recordkeeping standards; and/or
- prohibit the destruction of other classes of records.

When the originals are destroyed (if not before, in some cases) the copies will become the principal record of the matters concerned, so it is essential to ensure that the copies have the authenticity, integrity, reliability and useability necessary to substitute for the original source records. Some of the copies will need to be retained for lengthy periods or, in some cases, indefinitely as national archives. The National Archives of Australia has identified exclusions and attached conditions to the use of the authority to help ensure that the agency's copying activities and destruction of source records are undertaken in a controlled and accountable fashion, and with minimum risk to the Commonwealth and the public.

This authority does not apply to records created electronically and subsequently migrated or copied.

Definitions

In this authority *source records* means the original paper records or documents that have been copied.

Recordkeeping system means an information system, which captures, manages and provides access to records through time (equivalent to *records system* as defined by ISO 15489.)

Amendment and variations to this authority

The National Archives must approve all amendments or variations to the classes in this authority. Officers who have difficulty using the authority should approach the agency Records Manager. If there are problems with the application of the authority that cannot be resolved by the agency, the Records Manager should contact the National Archives.

CONTACT INFORMATION

Enquiries about this disposal authority should be directed to the Canberra Office of the National Archives of Australia:

Queen Victoria Terrace
Parkes ACT 2600
PO Box 7425
Canberra BC
ACT 2610

Tel: (02) 6212 3610

Email: recordkeeping@naa.gov.au

Website: www.naa.gov.au

EXCLUSIONS

1. Where permission is given to destroy records described in the classes annexed to this authority, this authority does not cover the disposal of source records where:
 - 1.1. there is a legal requirement to keep or retain the records in that particular form;
 - 1.2. they are required, or likely to be required, for a current or pending court action, government inquiry or investigation, or they are the subject of a current application for access under Freedom of Information, Archives or other relevant legislation;
 - 1.3. there is a government policy or directive not to destroy them;
 - 1.4. the National Archives has issued a notice that specifically prohibits their disposal in a particular form or medium (for example, their original form) or calls for their retention in that form;
 - 1.5. the copies are generated for convenience of reference only and do not meet accepted standards of adequate recordkeeping; or
 - 1.6. they are on loan to the agency from the custody of the National Archives. The National Archives requires loaned records to be returned in the same form and condition unless otherwise agreed.

CONDITIONS

1. Application

- 1.1. The disposal authority may only be applied:
 - 1.1.1. by the agency, or the agency with current functional responsibility for the records concerned, or their authorised agents;
 - 1.1.2. in situations where the agency responsible for the source records, or its functional successors, made the copies for administrative or preservation purposes.
- 1.2. The National Archives may withdraw authorisation in cases of non-compliance, if warranted.

2. Copying standards

- 2.1. The agency must ensure that:
 - 2.1.1. all copies which are intended to replace source records have the degree of authenticity, integrity, reliability, and useability necessary to meet the identified purposes of the source records;
 - 2.1.2. the copies are complete and reproduce the information contained in the source records as accurately as possible; and
 - 2.1.3. the copies can be taken to be true copies.

3. Copying process management

- 3.1. The agency must ensure that:
 - 3.1.1. their copying programs are viable and appropriate to the circumstances, and the copying process selected must be suitable for the nature of the records to be copied, for example, if colour is essential for understanding the source records, the process must reproduce colour;

- 3.1.2. all material intended to be copied is copied;
- 3.1.3. there is no or minimal damage to source records during copying, such as would compromise quality verification;
- 3.1.4. adequate quality control and verification procedures are in place and applied;
- 3.1.5. errors and defects in the copies made are corrected;
- 3.1.6. editorial notes or variations introduced through the copying process are identified so that it is clear they were not part of the source record;
- 3.1.7. sufficient documentation is kept to demonstrate that the methods used routinely produce accurate and reliable copies;
- 3.1.8. documentation is kept which identifies or describes the records that have been copied. Such documentation may consist of metadata at item, file or series level as appropriate, or statements in agency policies and procedures that define the categories of records approved for or normally subject to copying.

4. Maintenance of copies

- 4.1. The agency must ensure that:
 - 4.1.1. the copies are maintained in place of the source records for as long as required by any current disposal authority applying to the source records;
 - 4.1.2. the copies are captured into a recordkeeping system before the destruction of the source records proceeds;
 - 4.1.3. the copies are kept in accordance with relevant recordkeeping standards and guidelines promulgated by the National Archives for Commonwealth use. The management of copies generated before the introduction of particular standards and guidelines should comply to the extent possible. A copy under this Authority is an official record, which should be managed to the same standards as apply to any record;
 - 4.1.4. additional security copies, if produced, are controlled and documented so that they can be relied on in the event that they are needed.

5. Access to copies

- 5.1. The agency must ensure that measures are in place to:
 - 5.1.1. facilitate public access to records in accordance with the *Archives Act 1983* or other relevant legislation, including measures to restrict access to certain records where necessary; and
 - 5.1.2. prevent unauthorised alterations or additions to the copies.
- 5.2. For determining access to the first and subsequent generations of copies, the dates that normally would have applied to the source records shall be used.

6. Electronic systems and reporting

- 6.1. Where the copies are to be kept electronically, the agency must ensure that they have appropriate systems and strategies in place to maintain the records in an accessible condition for as long as required.
- 6.2. Upon written notice, agencies shall, within a timeframe that is reasonable in the circumstances, provide information to the National Archives about the

recordkeeping systems used, or intended to be used, in relation to the records. This information will be used by the National Archives to assure itself that arrangements for maintaining the records are satisfactory. Agencies should be prepared to report on:

- 6.2.1. the type of system and equipment used;
 - 6.2.2. storage media and environmental conditions;
 - 6.2.3. backup arrangements;
 - 6.2.4. measures to prevent unauthorised or accidental alteration;
 - 6.2.5. measures to preserve record context, meaning and accessibility;
 - 6.2.6. any other factors relevant to the future upkeep of the records.
- 6.3. The National Archives may seek full and free access to the records in agency custody, in accordance with the *Archives Act 1983*.
- 6.4. The agency will advise the National Archives as early as possible if, for some reason, it can no longer maintain the systems that support the records.

7. Disposal and management of source records

- 7.1. The agency must ensure that:
- 7.1.1. the source records are not disposed of by means other than destruction (for example, transfer outside the Commonwealth) unless such disposal is required by law, or it is authorised by the National Archives, or it is a normal administrative practice of which the National Archives does not disapprove;
 - 7.1.2. where the source records are eligible for transfer to the National Archives, under National Archives custody policy, they are kept as they would normally have been kept in a recordkeeping system of the agency, to adequate standards;
 - 7.1.3. they keep documentation that adequately identifies the types and ranges of records they destroy after copying.
- 7.2. Where the authority authorises the destruction of some original paper-based source records but not others, there may be a need for the agency to maintain hybrid paper/electronic files.
- 7.3. The agency shall contact the National Archives if, after the issue of the authority, it considers that source records permitted to be destroyed under this authority are worth keeping because:
- 7.3.1. they possess a high level of social or historical significance or utility; or
 - 7.3.2. they are the subject of a disposal freeze and adverse implications have been identified as a consequence of their destruction.

SPECIFIC CONDITIONS

There may be specific conditions that apply to a disposal authority that relate only to the records described in the authority. In this case, the conditions may be found in the section of the authority, titled *Application of this Authority* which appears immediately before the disposal classes.

RDA Job Number 2002/05089053**AUTHORISATION****RECORDS DISPOSAL AUTHORITY****Person to whom notice of authorisation is given:**

Secretary
Department of Defence
Russell Offices
Canberra
ACT 2600

Purpose:

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

Application:

The authority either permits or prohibits the early destruction of certain classes of original paper-based source records for the Department of Defence military personnel function subject to the exclusions and conditions of this authority.

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
National Archives of Australia

Date of issue: 8 April 2003

Venetia Beale
Director
Recordkeeping Implementation

Date of amendment:

Expiry date:

SUPERSEDED DISPOSAL AUTHORITIES

This authority supersedes RDA No. 630 Soldier Career Management Agency, in relation to the classes of records covered by this authority.

The authority does not validate the unauthorised disposal of records carried out before the date of issue of this authority.

APPLICATION OF THIS AUTHORITY

The classes identified in this disposal authority are supplementary in nature and can only be applied in relation to the Records Disposal Authority for the Department of Defence – Military personnel, job number 2002/04896824 issued 8 April 2003.

A decision has been taken, in consultation with relevant stakeholders, to maintain the original paper-based form of Defence service records prior to 1980. This decision is based on the high iconic value placed on groups of original paper-based records created prior to this date, particularly where service members were involved in war or war like operations.

In issuing the authority, the National Archives envisages the use of a wide range of copying processes and storage media where the substantive content, structure, and context of source records are reproduced, reformatted, or converted. The authority therefore covers, but is not limited to, document imaging and microform applications.

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MILITARY PERSONNEL

The function of managing all service members, accredited representatives, reservists and national service members from recruitment to final discharge. Also includes managing deployed civilians (in support of operations) for disciplinary misconduct and honours and awards. Activities include career management, postings, promotions, reclassification, recruiting, appointment and enlistment, discharge and transfers, honours and awards, disciplinary misconduct, pay, entitlements and allowances, travel, superannuation and retirement benefits, grievances, casualties, non-compensable occupational rehabilitation and leave.

For civilian personnel, use *PERSONNEL*.

For:

- civilians deployed in support of military operations, except for Disciplinary Misconduct, Honours and Awards, and Registering
- managing medical and dental matters
- managing psychological matters
- conduct of accident investigations
- military training and education policy and programs
- members' and families' welfare
- members' compensation claims and compensable rehabilitation
- conduct of inquests, inquiries and investigations
- management of Defence Force Cadets, and
- Australian Defence Force structure

do not use *MILITARY PERSONNEL*. Use other current disposal authorities as appropriate.

Copied Source Records

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4645	Original paper-based attestation forms that are classed as national archives. (Date range: 1901 -)	Do not destroy. Retain in original paper-based form in accordance with records disposal authority for the Department of Defence military personnel.
4646	Original paper-based Department of Defence service records that are classed as national archives. (Date range: 1901 – 1980)	Do not destroy. Retain in original paper-based form in accordance with records disposal authority for the Department of Defence military personnel.

MILITARY PERSONNEL

The function of managing all service members, accredited representatives, reservists and national service members from recruitment to final discharge. Also includes managing deployed civilians (in support of operations) for disciplinary misconduct and honours and awards. Activities include career management, postings, promotions, reclassification, recruiting, appointment and enlistment, discharge and transfers, honours and awards, disciplinary misconduct, pay, entitlements and allowances, travel, superannuation and retirement benefits, grievances, casualties, non-compensable occupational rehabilitation and leave.

For civilian personnel, use *PERSONNEL*.

For:

- civilians deployed in support of military operations, except for Disciplinary Misconduct, Honours and Awards, and Registering
- managing medical and dental matters
- managing psychological matters
- conduct of accident investigations
- military training and education policy and programs
- members' and families' welfare
- members' compensation claims and compensable rehabilitation
- conduct of inquests, inquiries and investigations
- management of Defence Force Cadets, and
- Australian Defence Force structure

do not use *MILITARY PERSONNEL*. Use other current disposal authorities as appropriate.

Copied Source Records – Continued

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4647	Original paper-based Defence Service records that are classed as national archives except for: <ul style="list-style-type: none"> • attestation forms • certificates of death on service or other official death certificates (Date range: 1981 -)	Destruction authorised. Retain and manage copies as national archives in accordance with records disposal authority for the Department of Defence military personnel.
4648	All original paper-based certificates of death on service or other official death certificates. (Date range: 1901 -)	Do not destroy. Retain in original paper-based form as national archives or temporary records in accordance with records disposal authority for the Department of Defence military personnel.

MILITARY PERSONNEL

The function of managing all service members, accredited representatives, reservists and national service members from recruitment to final discharge. Also includes managing deployed civilians (in support of operations) for disciplinary misconduct and honours and awards. Activities include career management, postings, promotions, reclassification, recruiting, appointment and enlistment, discharge and transfers, honours and awards, disciplinary misconduct, pay, entitlements and allowances, travel, superannuation and retirement benefits, grievances, casualties, non-compensable occupational rehabilitation and leave.

For civilian personnel, use *PERSONNEL*.

For:

- civilians deployed in support of military operations, except for Disciplinary Misconduct, Honours and Awards, and Registering
- managing medical and dental matters
- managing psychological matters
- conduct of accident investigations
- military training and education policy and programs
- members' and families' welfare
- members' compensation claims and compensable rehabilitation
- conduct of inquests, inquiries and investigations
- management of Defence Force Cadets, and
- Australian Defence Force structure

do not use *MILITARY PERSONNEL*. Use other current disposal authorities as appropriate.

Copied Source Records – Continued

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4649	<p>Original paper-based records covered by the records disposal authority for the Department of Defence military personnel function except for:</p> <ul style="list-style-type: none"> • records classed as national archives, and • certificates of death on service or other official death certificates <p>(Date range: 1901 -)</p>	<p>Destruction authorised.</p> <p>Retain and manage copies in accordance with records disposal authority for the Department of Defence military personnel.</p>