Australian Government

National Archives of Australia

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   **Date of issue:**

12 December 2007.

Ross Gibbs
Director-General
National Archives of Australia

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   Tel: (02) 6212 3610
Parkes ACT 2600   Fax: (02) 6212 3989
PO Box 7425   Email: recordkeeping@naa.gov.au
Canberra Mail Centre ACT 2610   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.

Entry	*Description of Records*	*Disposal Action*
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.

Entry	*Description of Records*	*Disposal Action*
Class no. 12924	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.	Retain as national archives
Class no. 12925	Records documenting advice provided to Commonwealth, State and Territory government agencies on routine defence security matters.	Destroy 5 years after action completed
Class no. 12926	Records documenting advice received from Commonwealth, State and Territory government agencies on defence security matters.	Destroy 2 years 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.

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.

Entry	*Description of Records*	*Disposal Action*
Class no. 12927	Records documenting testing of applications against requirements. Includes: • test reports • test schedules • responses	Destroy 7 years after evaluation completed or system is defunct, whichever is later
Class no. 12928	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	Destroy 5 years after application is defunct

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.

Entry	Description of Records	Disposal Action
Class no. 12929	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	Destroy 2 years after application is discarded

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.

Entry	Description of Records	Disposal Action
Class no. 12930	Final internal and external security audit reports. Includes final reports from audits conducted by the Australian National Audit Office (ANAO) or other external body.	Destroy 5 years after action completed
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.

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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.

Entry	Description of Records	Disposal Action
Class no. 12933	Records documenting the allocation and use of codewords, codenames, nicknames and/or caveats used in particular operations or projects.	Disposal not authorised
Class no. 12934	Records documenting the cancellation and return of codewords, codenames, nicknames and/or caveats used in particular operations or projects.	Disposal not authorised

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.

Entry	Description of Records	Disposal Action
Class no. 12935	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	Retain as national archives
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.

Entry	*Description of Records*	*Disposal Action*
Class no. 12937	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: • documents establishing the committee • final agenda • final versions of minutes • reports • recommendations • supporting documents such as briefing papers and discussion papers	Destroy 10 years after last action completed

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.

Entry	*Description of Records*	*Disposal Action*
Class no. 12938	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.	Destroy 3 years after 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.

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.

Entry	*Description of Records*	*Disposal Action*
Class no. 12939	Records documenting the granting of dispensation to standards, relating to the defence security function.	Destroy 15 years after standard or benchmark superseded or otherwise terminated, or last action completed, whichever is later
Class no. 12940	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	Destroy 5 years after action completed or inspection completed, whichever is later
Class no. 12941	Records documenting certification and accreditation of information systems in accordance with defence security policy.	Destroy 5 years after system defunct or last action completed, whichever is later
Class no. 12942	Records documenting inspections in relation to compliance with mandatory or optional standards, or with statutory requirements not relating to defence security sites or systems.	Destroy 5 years after 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.

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.

Entry	Description of Records	Disposal Action
Class no. 12943	Records of unpublished proceedings of conferences relating to the defence security function conducted by the agency.	Destroy 100 years after last action, pending review by the Secretary
Class no. 12944	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	Destroy 3 years after action completed
Class no. 12945	Records documenting the attendance by agency personnel at conferences arranged by other organisations, related to the defence security function. Includes participants' reports.	Destroy 3 years after 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.

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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.

Entry	Description of Records	Disposal Action
Class no. 12946	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. *[For final contracts, use DEFENCE SECURITY – Tendering.]*	Destroy 7 years after completion or other termination of contract or last action completed, whichever is later

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.

Entry	Description of Records	Disposal Action
Class no. 12947	Final signed versions of cooperative ventures. Includes those made under the Defence Industrial Security Program.	Retain as national archives
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.

Entry	Description of Records	Disposal Action
Class no. 12949	Records documenting testing activities for security databases.	Destroy 7 years after testing completed or system is defunct, whichever is later
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.

Entry	Description of Records	Disposal Action
Class no. 12951	Records documenting distribution of security products, including security manuals and awareness products. Includes: • correspondence • requests • deliveries • address lists	Destroy 1 year after last 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.

Drafting

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

Entry	*Description of Records*	*Disposal Action*
Class no. 12952	Outputs related to developing preliminary drafts and outlines of plans. Includes drafts and comments. *[For final plans, use DEFENCE SECURITY – Planning.]*	Destroy 3 years after plan issued, cancelled or superseded, whichever is later
Class no. 12953	Records documenting preliminary drafts and outlines, process of addresses, lectures, briefings and presentations. Includes drafts and comments. *[For final drafts, use DEFENCE SECURITY – Lectures and Presentations.]*	Destroy 1 year after final addresses, lectures, briefings and presentations issued, cancelled or superseded, whichever is later
Class no. 12954	Records documenting the preliminary drafts and outlines process of security products including security manuals and awareness products. Includes: • correspondence • drafts • comments *[For final drafts, use DEFENCE SECURITY – Product Development.]*	Destroy 1 year after product issued, cancelled or superseded, 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.

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.

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

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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.

Entry	*Description of Records*	*Disposal Action*
Class no. 12958	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.	Retain as national archives
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.

Entry	*Description of Records*	*Disposal Action*
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.

Entry	Description of Records	Disposal Action
Class no. 12965	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 *[For conduct of legal proceedings, use LEGAL SERVICES.]*	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.

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.

Entry	*Description of Records*	*Disposal Action*
Class no. 12966	Register of major investigations.	Retain as national archives
Class no. 12967	Statistics of major investigations.	Retain as national archives
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.

Entry	Description of Records	Disposal Action
Class no. 12971	Final versions of major lectures, briefs and presentations for promotions, conferences and lectures supporting the defence security function, delivered by senior agency staff.	Retain as national archives
Class no. 12972	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.	Destroy 6 years after last action completed
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.

Entry	Description of Records	Disposal Action
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.

Entry	Description of Records	Disposal Action
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.

Entry	Description of Records	Disposal Action
Class no. 12977	Records documenting help desk technical operations. Includes: • technical assistance • arrangements • procedures	Destroy 7 years after last action completed
Class no. 12978	Records documenting help desk services. Includes: • advice • requests • responses	Destroy 1 year after last action completed

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

Entry	Description of Records	Disposal Action
Class no. 12979	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.	Retain as national archives
Class no. 12980	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

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

Entry	*Description of Records*	*Disposal Action*
Class no. 12981	Records documenting development of all defence security plans, excluding major working papers. Includes: • minor working papers • final drafts • final comments	Destroy 3 years after plan is superseded or last action completed, whichever is later
Class no. 12982	Records documenting routine administrative matters relating to defence security planning. Includes: • correspondence • arrangements • dissemination	Destroy 3 years after plan is superseded 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.

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.

Entry	Description of Records	Disposal Action
Class no. 12983	Master sets of defence security manuals.	Retain as national archives
Class no. 12984	Master sets of defence security instructions.	Retain as national archives
Class no. 12985	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	Destroy when incorporated in a manual or Defence instruction, or destroy 10 years after policy or procedure superseded or cancelled
Class no. 12986	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	Destroy 6 years after policy or procedure superseded 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.

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.

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

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.

Entry	*Description of Records*	*Disposal Action*
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 *[For security products for public release or publication, use PUBLICATION.]*	Destroy 100 years after last action, pending review by the Secretary
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.

Entry	*Description of Records*	*Disposal Action*
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 *[For preliminary drafts, use DEFENCE SECURITY – Drafting.]*	Destroy 1 year after product issued, cancelled or superseded, 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.

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.

Entry	Description of Records	Disposal Action
Class no. 12993	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.	Destroy 20 years after last entry
Class no. 12994	Registers of security officer investigation case lists or files.	Destroy 7 years after last entry
Class no. 12995	Registers of clearances and passes issued to foreign nationals and foreign military personnel. Includes cancellations and amendments.	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.

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.

Entry	Description of Records	Disposal Action
Class no. 12996	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.	Retain as national archives
Class no. 12997	Records documenting major surveys with substantial action carried out.	Retain as national archives
Class no. 12998	Records documenting minor surveys with no substantial action carried out.	Destroy 7 years after report is produced or last action completed, whichever is later
Class no. 12999	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.	Destroy 7 years after report is produced or last action completed, whichever is later
Class no. 13000	Reports of visits conducted by Defence Executives relating to the defence security function.	Destroy 7 years after report is produced 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.

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.

Entry	Description of Records	Disposal Action
Class no. 13001	Reports of visits conducted by personnel other than by Defence Executives, relating to the defence security function.	Destroy 3 years after report is produced or last action completed, whichever is later
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.

Entry	Description of Records	Disposal Action
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.

Entry	*Description of Records*	*Disposal Action*
Class no. 13004	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	Destroy 5 years after review completed or last action completed, whichever is later
Class no. 13005	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.	Destroy 5 years after product superseded or ceases or last action completed, whichever is later
Class no. 13006	Records documenting the periodic reviews of protective security in Defence, eg Protective Security Reviews. Includes periodic security reviews.	Destroy 2 years after review completed or last action completed, whichever is later
Class no. 13007	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	Destroy 2 years after review completed 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.

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.

Entry	Description of Records	Disposal Action
Class no. 13008	Final version of security risk management plan.	Destroy 100 years after last action, pending review by the Secretary
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.

Entry	Description of Records	Disposal Action
Class no. 13011	Records documenting disposal of Commonwealth owned security systems. Includes: • valuation • certificate of valuation • written quotes • auction records • sales records • correspondence and forms for disposal	Destroy 7 years after disposal of asset
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

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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.

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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.

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

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.

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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.

Entry	*Description of Records*	*Disposal Action*
Class no. 13016	Signed contracts under seal resulting from tenders and supporting records: Western Australia.	Destroy 20 years after completion or other termination of contract
Class no. 13017	Signed contracts under seal resulting from tenders and supporting records: Victoria and South Australia.	Destroy 15 years after completion or other termination of contract
Class no. 13018	Signed contracts under seal resulting form tenders and supporting records: New South Wales, Queensland, Tasmania, Australian Capital Territory and Northern Territory.	Destroy 12 years after completion or other termination of contract
Class no. 13019	Signed simple contracts and agreements resulting from tenders. Includes supporting records.	Destroy 7 years after completion or other termination of contract
Class no. 13020	Tender and contract registers.	Destroy 7 years after last entry
Class no. 13021	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	Destroy 7 years after tender process finalised or otherwise terminated 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.

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.

Entry	*Description of Records*	*Disposal Action*
Class no. 13022	Records documenting evaluation of tenders against selection criteria, relating to the defence security function. Includes: • arrangements for carrying out the evaluation process • evaluation reports • recommendations • final report • public notices	Destroy 7 years after tender process finalised or otherwise terminated or last action completed, whichever is later
Class no. 13023	Records documenting post-offer negotiations and due diligence checks relating to the defence security function	Destroy 7 years after tender process finalised or otherwise terminated or last action completed, whichever is later
Class no. 13024	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: • submissions • notification of outcome • reports on debriefing sessions	Destroy 2 years after tender process completed or decision made not to continue with tender

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.

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.

Entry	*Description of Records*	*Disposal Action*
Class no. 13025	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	Retain as national archives
Class no. 13026	Records documenting annual threat assessments. Includes annual threat assessment and areas of concern.	Retain as national archives
Class no. 13027	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	Destroy 1 year after last action completed
Class no. 13028	Records documenting unsolicited correspondence and telephone calls relating to threat assessment. Includes information analysis and threat assessment.	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.

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.

Entry	*Description of Records*	*Disposal Action*
Class no. 13029	Copies of regional threat assessments relating to defence security. Includes collation material.	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.

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.

Entry	*Description of Records*	*Disposal Action*
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.

Entry	Description of Records	Disposal Action
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