



**Australian Government**



**NATIONAL  
ARCHIVES  
OF AUSTRALIA**

## Records Authority

2016/00420348

### **Department of Defence**

*Defence Capability Development,  
Acquisition and Disposal*

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2017



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**CONTENTS**

**INTRODUCTION** \_\_\_\_\_ **4**

**APPLICATION OF THIS AUTHORITY** \_\_\_\_\_ **4**

**CONTACT INFORMATION** \_\_\_\_\_ **5**

**AUTHORISATION** \_\_\_\_\_ **6**

**DEFENCE CAPABILITY DEVELOPMENT, ACQUISITION AND DISPOSAL** \_\_\_\_\_ **7**

## INTRODUCTION

The Department of Defence and the National Archives of Australia have developed this records authority to set out the requirements for keeping or destroying records for the core business areas of Defence Capability Development, Acquisition and Disposal. It represents a significant commitment on behalf of the Department to understand, create and manage the records of its activities.

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

The authority sets out those records that need to be retained as national archives and specifies the minimum length of time that temporary records need to be kept. This authority gives the Department permission under the *Archives Act 1983*, for the destruction of the temporary records described after the minimum retention period has expired. Retention periods for these temporary records are based on: an assessment of business needs; broader organisational accountability requirements; and community expectations, and are approved by the National Archives on the basis of information provided by the agency.

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

## APPLICATION OF THIS AUTHORITY

1. This authority supersedes Records Authorities RDA 723 (1991) and 1062 (1994) and RDS 502 (1988). The superseded records authorities cannot be used by the Department to sentence records after the date of issue of this authority.
2. This authority supersedes records authority class 21 in Records Authority RDA 1157 (1994) Maritime Commander Australia for Navy File and Non-File Records of Maritime Headquarters, Ships and Establishment under the Maritime Command. The superseded class cannot be used to sentence records after the date of issue of this authority.
3. This authority supersedes records authority class 21 in Records Authority RDA 1222 (1995) Flag Officer Naval Support Command Headquarters and Establishments. The superseded class cannot be used to sentence records after the date of issue of this authority.
4. This authority partially supersedes records authority class 33 in Records Authority RDS 508 (1988) Air Force Headquarters Support Command. Consideration must be applied when sentencing records after the date of issue of this authority.
5. This authority partially supersedes records authority classes 9, 12, 14, and 20 in Records Authority RDA 1157 (1994) Maritime Commander Australia for Navy File and Non-File Records of Maritime Headquarters, Ships and Establishment under the Maritime Command. The classes have been partially superseded and consideration must be applied when sentencing records after the date of issue of this authority.
6. This authority partially supersedes records authority classes 9, 12, 14, and 20 in Records Authority RDA 1222 (1995) Flag Officer Naval Support Command Headquarters and Establishments (December, 1995). The classes have been partially superseded and consideration must be applied when sentencing records after the date of issue of this authority.
7. This authority is to be used to determine how long records must be kept. Records are matched to the relevant core business and records class in the authority.
  - Where the minimum retention period has expired and the records are not needed for agency business they should be destroyed as authorised in this authority;
  - Records that have not reached the minimum retention period must be kept until they do; and
  - Records that are identified as 'retain as national archives' are to be transferred to the National Archives for preservation.
8. This authority should be used in conjunction with general records authorities such as:
  - the Administrative Functions Disposal Authority (AFDA) and/or AFDA Express issued by the National Archives to cover business processes and records common to Australian Government agencies; and

- General Records Authority 31 - Destruction of source or original records after digitisation, conversion or migration (2015)
9. The normal administrative practice (NAP) provision of the *Archives Act 1983* gives agencies permission to destroy certain records without formal authorisation. This usually occurs where records are duplicated, facilitative or for short-term use only. NAP does not replace arrangements agreed to in this authority but can be used as a tool to assist in identifying records for destruction together with an agency's records authority or authorities, and with AFDA and AFDA Express. The National Archives recommends that agencies develop and implement a NAP policy. Advice and guidance on destroying records as a normal administrative practice and on how to develop an agency NAP policy is available from the National Archives' website at [www.naa.gov.au](http://www.naa.gov.au)
  10. Records that are reasonably likely to be needed as evidence in a current or future judicial proceeding or are subject to a request for access under the *Archives Act 1983*, the *Freedom of Information Act 1982* or any other relevant act must not be destroyed until the action has been completed.
  11. Records subject to a disposal freeze must not be destroyed until the freeze has been lifted. Further information about disposal freezes and whether they affect the application of this authority is available from the National Archives website at [www.naa.gov.au](http://www.naa.gov.au).
  12. Where the method of recording information changes (for example from a manual system to an electronic system, or when information is migrated from one system to a new system) this authority can still be applied, providing the records document the same core business. The information must be accessible for the period of time prescribed in this authority. The Department will need to maintain continuing access to the information, including digital information, for the periods prescribed in this records authority or until the information is transferred into the custody of the National Archives.
  13. 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, without further reference to the National Archives. 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.
  14. Records coming within 'retain as national archives' classes in this authority have been determined to be part of the archival resources of the Commonwealth under section 3C of the *Archives Act 1983*. The determination of Commonwealth records as archival resources of the Commonwealth obliges agencies to transfer the records to the National Archives when they cease to be current and, in any event, within 15 years of the records coming into existence, under section 27 of the *Archives Act 1983*.
  15. Records in the care of agencies should be appropriately stored, managed and preserved. Agencies need to meet this obligation to ensure that the records remain authentic and accessible over time. Under Section 31 of the *Archives Act 1983*, access arrangements are required for records that become available for public access including those records that remain in agency custody.
  16. Appropriate arrangements should be made with the National Archives when records are to be transferred into custody. The National Archives accepts for transfer only those records designated as national archives. Records created digitally after 1 January 2016 can be transferred in digital formats only.
  17. Advice on how to use this authority is available from the Department of Defence information manager. If there are problems with the application of the authority that cannot be resolved, please contact the National Archives.

## CONTACT INFORMATION

For assistance with this authority or for advice on other information management matters, please contact National Archives' Agency Service Centre.

Queen Victoria Terrace  
Parkes ACT 2600  
PO Box 7425  
Canberra Business Centre ACT 2610

Email: [recordkeeping@naa.gov.au](mailto:recordkeeping@naa.gov.au)  
Website: [www.naa.gov.au](http://www.naa.gov.au)

# AUTHORISATION

## RECORDS AUTHORITY 2016/00420348

**Person to whom notice of authorisation is given:**

Mr Dennis Richardson, AO  
Secretary  
Department of Defence  
Russell Offices  
Canberra ACT 2600

**Purpose:**

Authorises arrangements for the disposal of records in accordance with Section 24(2)(b) of the *Archives Act 1983*

Determines records classed as 'Retain as national archives' in this records authority to be part of the archival resources of the Commonwealth under section 3C of the *Archives Act 1983*.

**Application:**

All core business records relating to Defence Capability Development, Acquisition and Disposal.

This authority gives permission for the destruction, retention or transfer to the National Archives of Australia of the records described. This authority will apply only with the consent of the agency currently responsible for the business documented in the records described.

**Authorising Officer**

Anne Lyons  
Assistant Director-General  
National Archives of Australia

**Date of issue:**

30 January 2017

## DEFENCE CAPABILITY DEVELOPMENT, ACQUISITION AND DISPOSAL

Defence Capability Development, Acquisition and Disposal is the process that enables the Australian Defence Force (ADF) to develop capacity in line with the Government's national strategic guidance in order to conduct military operations as required. It involves identifying the need for a capability, the development of the requirements for the capability, the obtaining of approval to expend funds, acquiring the capability, managing the employment of the capability and disposing of the capability at the end of its useful life. This is in accordance with strategic guidance contained in high level documents including Defence White Papers, Defence Planning Guidance and Future Operating Concepts.

Navy, Army, Air Force and Intelligence and Security (I&S) Group provide Australia with the capacity to undertake operations independently or as part of a multinational force. Military capability systems range from highly complex systems such as submarines, frigates and fighter aircraft to much simpler capabilities such as rifles and motor cycles.

Defence uses standard processes for the development, acquisition, introduction into service and disposal of major Defence capability called the Capability Systems Life Cycle (CSLC). Minor projects are managed by the individual services with a greater degree of process discretion. The Capability Systems Life Cycle (CSLC) currently consisting of the following phases:

- Needs phase – the development of a coherent vision for future military capabilities and a portfolio of capability system projects to address identified capability gaps;
- Requirements phase – where a capability system project is transformed from an initial, broad consideration of possible capability options into a well-defined and costed solution;
- Acquisition phase – materiel system elements are procured by a Defence acquisition agency such as the Capability Acquisition and Sustainment Group (CASG);
- In-service phase – the capability system is operated, supported, and modified as necessary;
- Disposal phase – major systems and other materiel elements of the capability system are withdrawn from service and disposed of or redeployed.

Military capabilities are systems rather than simply items of equipment. The Fundamental Inputs to Capability (FIC) provides a conceptual framework for understanding and analysing the essential components of a capability that combined comprise the complete capability system. The FIC elements are:

- Personnel
- Organisation
- Collective training
- Facilities and training areas
- Supplies
- Major systems
- Command and management
- Support.

Capability projects are classified into two categories: major projects and minor projects. For major projects, the Capability System Life Cycle process is a comprehensive activity, according to the scale, relative complexity and strategic implications of the project. A range of stakeholders are involved in the major project process and the process is designed to ensure they are consulted and given the opportunity to provide input. For minor projects, the Capability System Life Cycle process is modified by each Service to suit their internal project management requirements and therefore there are minor variations in process between the services.

Capability projects require, directly or indirectly, Government approval for the capability system to be added to the Defence organisation, and for funds to be provided to acquire and operate the capability. A Government approval process for major capability system projects is designed to obtain Government approval from the appropriate Cabinet and Ministerial authorities. The process ensures proposed capabilities align with Government-endorsed strategies and priorities and the whole-of-Government budget. Responsibility for approving minor projects generally rests with the single Service Chiefs, noting that some minor projects require Ministerial approval, whilst others may be delegated to subordinate officers for approval.

The core tasks associated with Defence Capability Development, Acquisition and Disposal include:

- Project document suite (PDS) development
- Intellectual property (IP) management
- Contract management

## DEFENCE CAPABILITY DEVELOPMENT, ACQUISITION AND DISPOSAL

- Research
- Acceptance into operational service (AIOS)
- Key stakeholder engagement and management
- Capability needs identification
- Capability requirements development
- Capability acquisition
- Capability introduction into service (limited parts)
- Capability disposal
- Minor projects management.

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

- Audit
- Policies and directives
- Manuals, handbooks and procedures
- Agreements and arrangements
- Committees, groups, boards and forums
- Liaison and coordination
- Reporting and compliance
- Financial management.

### Cross references to other Department of Defence records authorities

*For records relating to higher level audit activities, such as those conducted by the Capability Acquisition and Support Group Materiel Audit Committee, use DEFENCE STRATEGY, ENGAGEMENT AND ADVICE.*

*For records relating to strategic level capability planning (including the Defence Capability Plan), use DEFENCE STRATEGY, ENGAGEMENT AND ADVICE.*

*For reporting to Government on capability preparedness, use: DEFENCE STRATEGY, ENGAGEMENT AND ADVICE.*

*For records relating to the actual development of training for capability systems and platforms, use DEFENCE TRAINING.*

*For records associated with in-service aspects other than updating, upgrading or extending the life-of-type of a capability, use DEFENCE MATERIEL SUSTAINMENT AND LOGISTICS SUPPORT and DEFENCE ESTATE, INFRASTRUCTURE AND ENVIRONMENT.*

### Cross references to AFDA Express Records Authority

*For records relating to staff development and training (including APS and other non-military staff) that is generally related to projects and capability but not specifically funded under a particular capability project, use STAFF DEVELOPMENT.*

*For finance records not directly related to a Capability Development and Acquisition project, use FINANCIAL MANAGEMENT.*



## DEFENCE CAPABILITY DEVELOPMENT, ACQUISITION AND DISPOSAL

Class no	Description of records	Disposal action
62146	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• High level capability development and acquisition manuals, handbooks and procedures that provide overarching guidance and direction to the overall capability development and acquisition system. Excludes specific capability projects.</li> <li>• Major capability projects, including: <ul style="list-style-type: none"> <li>• Project policies and directives throughout the Capability Systems Life Cycle including policies and directives specific to one or multiple phases or across all phases and aspects.</li> <li>• Materiel acquisition agreements covering acquisition services provided by the acquisition agency to Defence for major capability acquisitions.</li> <li>• Agreements and arrangements including major acquisition contracts between the acquisition agency and a commercial provider.</li> <li>• Formal committees, groups, boards and forums including terms of reference, final agenda, minutes and reports and presentations supporting decisions made in relation to major acquisition projects.</li> <li>• Liaison and coordination with key project stakeholders documented within the Project Document Suite.</li> <li>• Compliance activities within the Project Document Suite and Disposal Phase for mandatory or voluntary accountability, fiscal, legal, regulatory or quality standards and requirements.</li> <li>• Formal reporting mandated in the Project Document Suite or reporting to the Government including the Minister on defence capability plan projects.</li> <li>• Allocation of capability project money, including restrictions and variations.</li> <li>• Final budget estimates as part of the Project Document Suite</li> <li>• Final capability logistic support concept documents required at First and Second Pass approval.</li> <li>• Final Integrated Logistics Support Plan (ILSP).</li> <li>• Capability Manager (such as Service Chief) input and guidance provided throughout all phases of the Capability Systems Life Cycle.</li> <li>• External agency final input and guidance for First Pass and Second Pass Approvals including Defence Science &amp; Technology Group (DSTG) and technical regulatory authorities on issues such as radiation and environmental control.</li> <li>• Plans within the Project Document Suite, including the Project Management Plan containing all project plans developed during all phases of the capability systems life cycle process.</li> <li>• Authoritative advice from qualified subject specialists such as Legal Officers, Chartered Accountants, Engineers and</li> </ul> </li> </ul>	Retain as national archives

## DEFENCE CAPABILITY DEVELOPMENT, ACQUISITION AND DISPOSAL

Class no	Description of records	Disposal action
	<p>Scientists covering all phases of a capability project</p> <ul style="list-style-type: none"> <li>• Risk management activities specified by the Project Document Suite, including risk and issue register and individual risk assessments.</li> <li>• Disposal phase authorisation, including disposal project team terms of reference, end user restrictions clearances and foreign military sales re-transfer approval.</li> <li>• Research (authoritative and generalist) informing project decisions.</li> <li>• Intellectual property management.</li> <li>• Acceptance into Operational Service (AIOS) including milestones and achievement criteria, shortfall documentation and capability manager acceptance.</li> <li>• Delegation authorisations applicable to a minor project.</li> </ul>	
62147	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• Major capability projects: <ul style="list-style-type: none"> <li>• Compliance activities excluding those within the Project Document Suite and Disposal Phase.</li> <li>• Supporting budget estimates.</li> <li>• Generalist advice other than advice captured in the papers of committees, groups, boards and forums in class 62146.</li> <li>• Published manuals, handbooks and procedures that directly relate to the operation of the acquired capability system.</li> <li>• Certified true copies of logbooks, equipment histories and maintenance records where the original documents have been included as part of the sale of the capability system during the disposal phase.</li> </ul> </li> <li>• Minor capability projects: <ul style="list-style-type: none"> <li>• Compliance activities.</li> <li>• Project risk management activities.</li> <li>• Plans.</li> </ul> </li> <li>• External audit final reports (eg conducted by an external authority such as the Australian National Audit Office) where the audit report is qualified.</li> <li>• Test and evaluation activities.</li> </ul>	Destroy 25 years after capability system disposal has been completed
62148	Records documenting contract management relating to any supplied goods and services to Defence in support of a major project.	Destroy 15 years after contract is completed, or is terminated
62149	Records documenting:	Destroy 10 years

## DEFENCE CAPABILITY DEVELOPMENT, ACQUISITION AND DISPOSAL

Class no	Description of records	Disposal action
	<ul style="list-style-type: none"> <li>• Internal audit final reports (eg conducted by an external commercial auditing bodies contracted by the organisation to undertake an audit, or internally within the organisation) and relates to a major project.</li> <li>• Allocation of capability project money for minor projects.</li> <li>• Cost assurance statements and the management of debt recovery for major projects.</li> <li>• Support concept guidance and advice received as part of the preparation for the First and Second Pass across the areas of general support, operating support, engineering support, maintenance support, supply support and training support.</li> </ul>	after last action completed
62150	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• Major capability projects: <ul style="list-style-type: none"> <li>• Project manuals, handbooks and procedures throughout the Capability Systems Life Cycle, excluding overarching manuals and handbooks such as the Defence Capability Development Handbook.</li> <li>• Liaison and coordination other than that conducted within the Project Document Suite.</li> <li>• Spending progress against budget allocations other than those contained within the Project Document Suite or contained in higher level reports.</li> <li>• Tendering activities applicable to the Requirements phase.</li> <li>• Conduct of risk management activities applicable to the Requirements Phase excluding those within the Project Documents Suite</li> </ul> </li> <li>• Minor capability projects: <ul style="list-style-type: none"> <li>• Manuals and handbooks.</li> <li>• Agreements and arrangements including acquisition contracts between a Defence acquisition agency such as the Capability Acquisition and Sustainment Group and a commercial provider.</li> <li>• Budget estimates and cost statements.</li> <li>• Contract management relating to any supplied goods and services.</li> <li>• Authoritative or generalist advice.</li> <li>• Liaison and coordination.</li> <li>• Formal committees, groups, boards and forums proceedings.</li> <li>• Reporting.</li> </ul> </li> <li>• Reviews of agreements and arrangements.</li> <li>• All subordinate reporting used to develop and inform higher level reports (excluding reporting to government).</li> </ul>	Destroy 10 years after capability system disposal has been completed

## DEFENCE CAPABILITY DEVELOPMENT, ACQUISITION AND DISPOSAL

<b>Class no</b>	<b>Description of records</b>	<b>Disposal action</b>
62151	Records documenting: <ul style="list-style-type: none"><li>• Interim policies and directives throughout the Capability Systems Life Cycle.</li><li>• Formal capability development and acquisition project financial reports including reports made in response to a statutory obligation and reports required for submission on a regular basis.</li><li>• Operating and maintaining transactional bank accounts and the reconciliation of accounts of major project funds transfers.</li><li>• Preparation and payment of money for a major project.</li><li>• Tendering activities applicable to a minor project.</li></ul>	Destroy 7 years after last action completed
62152	Records documenting: <ul style="list-style-type: none"><li>• Routine administrative tasks supporting the core business</li><li>• Capability Development, Acquisitions and Disposal activities, other than those covered in classes 62146 to 62151.</li></ul>	Destroy 3 years after last action completed