



**Australian Government**

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**National Archives of Australia**

**Records Authority**

2017/00073368

**Department of Defence**

*Defence Training*

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2018



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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 keeping or destroying records for the core business areas of Defence Training. 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 RDS.503 (1988) and RDAs 598 (1989), 782 (1991), 938 (1992), 1220 (1995) and CA3907-1 (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 The superseded records authorities cannot be used by the Department to sentence records after the date of issue of this authority.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 classes 78, 88, 89 and 92 in RDS.508 (1988) Air Force Headquarters Support Command. The superseded classes cannot be used by the Department to sentence records after the date of issue of this authority.
3. This authority supersedes class 7 in RDA 630 Central Army Records Office. The superseded class cannot be used by the Department to sentence records after the date of issue of this authority.
4. This authority supersedes class 3 in RDA 745 (1991) Army Headquarters Logistic Command, Victoria. The superseded class cannot be used by the Department to sentence records after the date of issue of this authority.
5. This authority partially supersedes records authority class 6 and fully supersedes classes 126 to 129 in RDA 1157 (1994) Maritime Commander Australia. Care must be applied when sentencing records after the date of issue of this authority.
6. This authority partially supersedes records authority class 6 and fully supersedes classes 126 to 129 RDA 1222 (1995) Flag Officer Naval Support Command. Care must be applied when sentencing records after the date of issue of this authority.
7. This authority partially supersedes classes 1 to 3 in RDA 1357 (1998) Army Units, Formation HQ's, Regional MD HQ's, and Defence Corporate Support Centres. Care must be applied when sentencing records after the date of issue of this authority.
8. 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 Departmental 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.
9. 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)

10. 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).
11. 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.
12. 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).
13. Where the method of recording information changes (for example from a manual system to a digital 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.
14. 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.
15. 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*.
16. 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.
17. 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.
18. Advice on how to use this authority is available from the 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](#).

# AUTHORISATION

## RECORDS AUTHORITY 2017/00073368

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

Greg Moriarty  
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 Training.

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**

Teressa Ward  
Assistant Director-General  
National Archives of Australia

**Date of issue:**

6 April 2018

## DEFENCE TRAINING

Defence training is the core business of training individuals and force elements to develop the knowledge, skills and attitudes that enable the Australian Defence Force (ADF) to conduct successful military operations. It is a systematic approach to training that focuses on developing military capabilities across the three Services (Navy, Army and Air Force), joint force elements, regular and reserve forces, individuals and collective force elements (including participants from other Government agencies and multinational forces). ADF training progresses from generic military foundation training to specific operational training. Includes providing vocational education and training (VET) as a Registered Training Organisation (RTO) in accordance with the National Skills Framework (NSF). Also includes conducting exercises and evaluating and implementing lessons learned for:

- Combined Exercises involving one or more Services combined with overseas forces;
- Joint Exercises involving two or more Services; and
- Single Service Exercises involving only one Service.

Governance of Defence Training is supported by a variety of systems that include:

- Systems Approach to Defence Learning (SADL)
- Materiel Capability Life Cycle
- Preparedness Management System.

The core tasks associated with Defence Training include:

- Training governance to ensure clearly defined roles and responsibilities are in place to manage and monitor training;
- Developing training governance support systems such as the Systems Approach to Defence Learning;
- Conducting nationally accredited training by Defence registered training organisations (RTOs);
- Providing shared training across multiple Services as rationalised training;
- Developing the capability to identify and implement lessons learned from training and exercises;
- Contributing to the development and maintenance of Defence doctrine;
- Developing training strategies, models and concepts;
- Training direction and management;
- Training design; and
- Planning and conducting exercises, including the evaluation of participant (training audience) performance.

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

- Developing and evaluating Defence Training policies and directives;
- Developing training manuals, handbooks and procedures; and
- Managing strategic training and education committees, groups, boards and forums

### Cross references to other Defence records authorities

*For the selection and management of personnel undertaking training, education or personal development external to a Defence organisation, use MILITARY PERSONNEL, HEALTH, WELFARE AND CLAIMS.*

*For support to the operational deployment cycle other than training design and the conduct of exercises, use DEFENCE OPERATIONS.*

*For investigations, appeals and grievances arising from non-accredited training, use MILITARY PERSONNEL, HEALTH, WELFARE AND CLAIMS.*

*For further information regarding the Capability Life Cycle, use CAPABILITY DEVELOPMENT, ACQUISITION AND DISPOSAL.*

*For further information regarding the Preparedness Management System (PMS), use DEFENCE STRATEGY AND ADVICE.*

## DEFENCE TRAINING

*For military and political strategies and Defence doctrine underlying training, use DEFENCE STRATEGY AND ADVICE.*

*Cross references to AFDA Express*

*For Defence training films, videos and other audio visual material, use PUBLICATION.*

Class no	Description of records	Disposal action
62296	<p>Records documenting:</p> <p>Lessons learned documentation distributed through:</p> <ul style="list-style-type: none"> <li>• dissemination plans;</li> <li>• lessons library data;</li> <li>• lessons learned reports, briefs and bulletins;</li> <li>• lessons learned conferences, seminars and forums;</li> <li>• Australian Defence Force Activity Analysis Database System (ADFAADS) submissions; and</li> <li>• ADF Enterprise Lessons Information System data.</li> </ul> <ul style="list-style-type: none"> <li>• finalised training doctrine, including approval process.</li> </ul> <p>Combined and joint exercises either hosted by the ADF or in which Australia participates such as Exercise Talisman Sabre or Exercise Rim of the Pacific (RIMPAC). Includes:</p> <ul style="list-style-type: none"> <li>• exercise planning groups focussed on the initiation, deconfliction and synchronisation of ADF exercises;</li> <li>• initiation and planning of specific exercises including the records that detail key exercise appointments, exercise scoping guidance, exercise concepts and warning orders or orders for exercise stakeholders (including the training audience);</li> <li>• conduct of detailed planning conferences for the purpose of bringing the exercise stakeholders together to review and progress exercise planning and resolve issues;</li> <li>• exercise instructions that provides the detailed exercise management plans and supporting concepts for a specific exercise;</li> <li>• real world, reality based or fictitious scenario, operating environment and training adversary used as part of an exercise or training;</li> <li>• conduct of the exercise from beginning to end, i.e. from STARTEX to ENDEX;</li> <li>• exercise monitoring and control by Exercise Control (EXCON) during the conduct of an exercise; and</li> <li>• implementation of the exercise evaluation plan whereby the training audience performance is measured against specific standards and measures.</li> </ul> <ul style="list-style-type: none"> <li>• summary information tracking training and education events and activities of individuals within the ADF.</li> </ul>	Retain as national archives



## DEFENCE TRAINING

Class no	Description of records	Disposal action
	<p>[For single service exercises, use class 62298.</p> <p>For strategic agreements and understandings relating to combined exercises, use DEFENCE STRATEGY AND ADVICE.</p> <p>For career management aspects of individuals, use DEFENCE PERSONNEL, HEALTH, WELFARE AND CLAIMS.]</p>	
62297	<p>Records documenting:</p> <p>Assessment outcomes of an RTO for specific training packages. Includes:</p> <ul style="list-style-type: none"> <li>• trainee results;</li> <li>• qualifications;</li> <li>• Statements of Attainment (SOA);</li> <li>• transcripts and results summaries;</li> <li>• registers;</li> <li>• Accreditation Handbook identifying pathway information to each accredited outcome; and</li> <li>• notifications.</li> </ul> <p>Training strategies and frameworks developed to meet single service and joint capability, training and preparedness requirements and direction.</p>	Destroy 75 years after action completed
62298	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• strategic-level committees and groups formed to provide training governance oversight and strategic level training guidance.</li> <li>• the initial accreditation and continuous compliance of an RTO including the development and implementation of accredited training standards and policies, compliance with legislative and regulatory requirements and mandatory or optional standards.</li> <li>• allegations and subsequent investigations of any alleged misconduct (excluding sexual misconduct) relating to an RTO that affects a training program or course.</li> <li>• normal internal and external RTO reports.</li> <li>• overarching governance and management of rationalised training across the Defence.</li> </ul> <p>The following aspects of the Defence lessons learned system:</p> <ul style="list-style-type: none"> <li>• the collection of training data associated with potential lessons for the purpose of further lessons analysis;</li> <li>• the analysis of training data associated with potential lessons;</li> <li>• the presentation of lessons identified to leadership and the decisions associated with the progression of the lessons identified through subsequent phases of the lessons learned system;</li> <li>• preparation, implementation and monitoring of remedial action plans as part of the lessons learned implement phase; and</li> </ul>	Destroy 30 years after action completed

## DEFENCE TRAINING

Class no	Description of records	Disposal action
	<ul style="list-style-type: none"> <li>• the validation of original observations corrected.</li> <li>• the development and promulgation of training direction and requirements.</li> <li>• management of directed training course attendance.</li> <li>• master sets of training handbooks, manuals and codes of conduct produced for the purpose of standardising training implementation and detailing appropriate training methods and approaches.</li> </ul> <p>The following aspects of the Systems Approach to Defence Learning (SADL):</p> <ul style="list-style-type: none"> <li>• final documents relating to qualifications and competencies associated with the implementation of training; and</li> <li>• final documents relating to the continuous implementation of learning activities and associated assessments and the training review process.</li> </ul> <p>Exercises other than those covered in Class 62296:</p> <ul style="list-style-type: none"> <li>• exercise planning groups at the single level focussed on the initiation, deconfliction and synchronisation of ADF exercises;</li> <li>• initiation and planning of specific exercises including the records that detail key exercise appointments, exercise scoping guidance, exercise concepts and warning orders or orders for exercise stakeholders (including the training audience);</li> <li>• conduct of detailed planning conferences for the purpose of bringing the exercise stakeholders together to review and progress exercise planning and resolve issues;</li> <li>• exercise instructions that provides the detailed exercise management plans and supporting concepts for a specific exercise;</li> <li>• real world, reality based or fictitious scenario, operating environment and training adversary used as part of an exercise or training;</li> <li>• conduct of the exercise from beginning to end, i.e. from STARTEX to ENDEX;</li> <li>• exercise monitoring and control by Exercise Control (EXCON) during the conduct of an exercise; and</li> <li>• implementation of the exercise evaluation plan whereby the training audience performance is measured against specific standards and measures.</li> </ul> <p>[For lessons learned relating to combined and joint exercises use Class 62296]</p>	
62428	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• the development, establishment and implementation of single service and joint policies and directives related to training other than those records covered in Class 62296; and</li> <li>• management of overseas training and education.</li> </ul>	Destroy 20 years after action completed

## DEFENCE TRAINING

Class no	Description of records	Disposal action
	<p>The following aspects of the Systems Approach to Defence Learning (SADL):</p> <ul style="list-style-type: none"> <li>• analysis and specifying the need for new or revised training;</li> <li>• selection of assessment and learning strategies for training;</li> <li>• selection of strategies for evaluating the whole process of preparing and conducting training;</li> <li>• preparation of materials and equipment needed to implement learning activities and evaluate trainee performance; and</li> <li>• final documents relating to checking how well training has prepared learners for the workplace and whether the original capability requirement has been met.</li> </ul>	
62299	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• the master set of training material for training and workshops run by an RTO;</li> <li>• enrolment of trainees into specific RTO training programs or courses;</li> <li>• trainee assessments and items within an RTO;</li> <li>• RTO advice to regulatory bodies and industry relating to RTO status, accredited training courses or potential training programs;</li> <li>• non-contractual administrative arrangements that support the delivery of accredited training;</li> <li>• implementation and administration of the lessons learned process;</li> <li>• management and administration of doctrine and its development at both joint and single-service levels;</li> <li>• the development, project management and drafting associated with the process of writing and reviewing doctrine; and</li> <li>• the conduct of training boards and meetings for the purpose of considering key training issues including training course package modifications, training evaluation, training plans suitability, training outcomes, training lessons learned, policy discussions and amendments and training advice to commanders and senior personnel.</li> </ul>	Destroy 10 years after action completed
62300	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• routine administrative tasks supporting the core business</li> <li>• Defence training activities, other than those covered in classes 62296 to 62299 and 62428.</li> </ul>	Destroy 5 years after action completed