



## Records Authority

2017/00174704

## **Department of Defence**

*Defence Materiel Sustainment  
and Logistics Support*

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2017



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## INTRODUCTION

The Department of Defence (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 area of Defence Materiel Sustainment and Logistics Support. It represents a significant commitment on behalf of Defence to understand, create and manage the records of its activities.

This authority is based on the identification and analysis of the business of Defence. 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 Defence 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 CA57-1-1, S.479, and RDA 894. The superseded records authority cannot be used by Defence to sentence records after the date of issue of this authority.
2. This authority partially supersedes records authorities CA999-2, CA3907-1, S.508, and RDAs 647, 700, 745, 782, 806, 832, 1013, 1157, 1222, 1357 and 1406. Details about the superseded classes in these authorities may be obtained from the Defence information manager. These classes cannot be used by Defence to sentence records after the date of issue of this authority.
3. 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 Defence 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.
4. 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).
5. 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 a NAP policy is available from the National Archives' website at [www.naa.gov.au](http://www.naa.gov.au).
6. 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.
7. 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).
8. Where the method of recording information changes (for example from an analogue 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. Defence 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.

9. In general, retention requirements indicate a minimum period for retention. Defence 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 Defence 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.
10. 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*.
11. 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.
12. 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.
13. 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 2017/00174704

**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 Materiel Sustainment and Logistics Support.

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**

Linda Macfarlane  
Acting Assistant Director-General  
National Archives of Australia

**Date of issue:**

15 December 2017

## DEFENCE MATERIEL SUSTAINMENT AND LOGISTICS SUPPORT

Defence Materiel Sustainment and Logistics Support describes the core business of sustaining the Australian Defence Force through a range of interrelated management, administrative and logistic activities in the non-operational setting. The non-operational setting describes all tasks and actions that are not classed as operational, where Defence is prepared for, but not actively participating in operations. This includes such tasks and actions as exercises, training, administration and the provision of logistics support.

The Defence materiel sustainment and logistics support system operates within a number of interrelated networks, including a control network that includes all aspects of logistics command and management, an information network that includes all logistic information sources, systems, data and analysis processes, and a physical network that includes all logistic resources and installations.

The Defence materiel sustainment and logistics support system consists of interconnected sub-systems including national and international logistics nodes, connected by modes of transport that move personnel, materiel and supplies along lines of communication. This is supported by external logistic systems such as those operated by allied multinational force partners, other government agencies, other nations and commercial industry partners.

Defence materiel sustainment and logistics support core activities include:

- developing and implementing policies, directives, orders and instructions;
- planning and monitoring to ensure the efficient management of products, contracts; the environment and customs, quarantine and bio-security;
- providing base support services, including postal, catering, laundry and showering; mortuary services;
- providing supply services, including managing the supply chain, procuring materiel, inventory management, ordnance control, storage and distribution of supplies and the salvage and disposal of materiel and supplies;
- providing and managing of transport services such as sealift, airlift, road and rail transport;
- managing air, land and sea terminals;
- coordinating and controlling the movement of Defence force units, personnel, materiel and ordnance, including the development of the movement plan and securing diplomatic clearances;
- planning and managing engineering and maintenance requirements for ADF materiel, such as transport inspection and maintenance and the recovery of damaged equipment; and
- designing, building maintaining and disposing of infrastructure items such as ports, roads, airfields, operation bases and logistic and administrative support facilities.

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

- audit;
- developing and implementing manuals, handbooks and procedures;
- negotiating, establishing, managing and reviewing agreements and arrangements;
- managing, participating in committees, groups, boards and forums;
- liaising with stakeholders;
- reporting;
- fulfilling compliance requirements;
- conducting research;
- providing and receiving advice;
- tendering;
- managing risk;
- delegating powers and authorising actions; and

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- budgeting and fund allocation.

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

*For records relating to the provision of logistics support to Defence in an operational setting, use DEFENCE OPERATIONS.*

*For records relating to strategic level Defence materiel sustainment and logistics support planning (including the Defence Capability Plan), use DEFENCE STRATEGY AND ADVICE.*

*For records relating to the acquisition and disposal of Defence capability systems (both mission and support systems), use DEFENCE CAPABILITY DEVELOPMENT, ACQUISITION AND DISPOSAL.*

*For the conduct of training exercises, use DEFENCE TRAINING.*

*For records relating to services supporting personnel management, personnel services and the provision of health support, use MILITARY PERSONNEL, HEALTH, WELFARE AND CLAIMS.*

*For records relating to the management of Defence land, infrastructure and facilities, use DEFENCE ESTATE, INFRASTRUCTURE MANAGEMENT AND ENVIRONMENT.*

### Cross references to AFDA Express Records Authority

*For finance records relating to common administrative records and not directly related to the sustainment and logistics support of a Defence materiel program, use FINANCIAL MANAGEMENT.*

<b>Class no</b>	<b>Description of records</b>	<b>Disposal action</b>
62312	Records documenting: <ul style="list-style-type: none"> <li>• materiel sustainment and logistics support policies and directives;</li> <li>• developing, establishing and implementing overarching and high-level logistics orders and logistics support instructions for Defence exercises;</li> <li>• high-level manuals, handbooks and procedures that provide overarching guidance and direction;</li> <li>• developing implementing and reviewing significant agreements and arrangements;</li> <li>• external and high-level committees, groups, boards and forums;</li> <li>• high-level reports on Defence Capability Plan (DCP) projects and the annual omnibus ministerial submission relating to materiel sustainment and logistics support;</li> <li>• allocating materiel sustainment and logistics support funds for major capability programs; and</li> <li>• authoritative research undertaken to inform materiel sustainment and logistics support decisions relating to major capability platforms.</li> </ul>	Retain as national archives
62313	Records documenting: <ul style="list-style-type: none"> <li>• final external audit reports (e.g. conducted by an external authority such as the Australian National Audit Office) where the audit report is qualified by the Auditor-General and relates to Defence materiel sustainment and logistics support;</li> <li>• compliance activities applicable to materiel sustainment and logistics support;</li> <li>• budget estimates supporting Defence materiel sustainment and</li> </ul>	Destroy 25 years after last action



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Class no	Description of records	Disposal action
	<p>logistics support;</p> <ul style="list-style-type: none"> <li>• securing and accounting for all explosive ordnance on charge to commanders or in the custody of units under their control; and</li> <li>• movement framework for explosive ordnance by Defence including Commonwealth customs and quarantine documentation and the dispensation of exercise area licences for explosive ordnance storage requirements.</li> </ul> <p>The following aspects of disposal:</p> <ul style="list-style-type: none"> <li>• logistics disposal of explosive ordnance due to the materiel being time expired, unsuitable to requirements, or the EO has reached the end of its service life; and</li> <li>• disposal of controlled weapon repair parts.</li> </ul>	
62314	<p>Records documenting the following aspects of materiel engineering and maintenance:</p> <ul style="list-style-type: none"> <li>• adjustments to materiel engineering and maintenance plans;</li> <li>• technical regulation decisions of Defence materiel;</li> <li>• management of technical risks;</li> <li>• confirmation and use of approved standards and specifications to support engineering decisions and maintenance actions;</li> <li>• configuration management of materiel;</li> <li>• certification of design upgrades to materiel;</li> <li>• technical inspection of materiel;</li> <li>• corrective maintenance of materiel;</li> <li>• certification of materiel maintenance;</li> <li>• contingency maintenance of critical materiel; and</li> <li>• controlled parts exchange of materiel.</li> </ul>	Destroy 25 years after capability system disposal has been completed
62315	Records documenting the management of debt recovery specific to Defence materiel sustainment and logistics support.	Destroy 15 years after last action
62316	Records documenting contract management relating to any supplied goods and services to Defence.	Destroy 15 years after contract is completed, or is terminated
62317	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• final internal audit reports (e.g. conducted by an external commercial auditing bodies contracted by the organisation to undertake an audit, or internally within the organisation) and relates to Defence materiel sustainment and logistics support;</li> <li>• logistics orders and instructions associated with routine logistics tasks (issued on a more frequent basis than the support order or significant logistics instructions and of a less enduring nature) for</li> </ul>	Destroy 10 years after last action

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Class no	Description of records	Disposal action
	<p>Defence exercises;</p> <ul style="list-style-type: none"> <li>• Defence materiel sustainment and logistics support manuals, handbooks and procedures;</li> <li>• liaison and coordination applicable to materiel sustainment and logistics;</li> <li>• authoritative research undertaken to inform materiel sustainment and logistics support decisions not covered in class 62312;</li> <li>• receipt and provision of authoritative materiel sustainment and logistics support advice;</li> <li>• tendering activities applicable to materiel sustainment and logistics support;</li> <li>• risk management activities applicable to materiel sustainment and logistics support;</li> <li>• decisions, assessments, reporting and declarations for Australian and other nation customs, quarantine and bio-security management for the conduct of business in Defence non-operational exercises and training activities;</li> <li>• managing postal services;</li> <li>• obtaining diplomatic clearances for vessels, aircraft and force elements supporting Defence; and</li> <li>• general administration throughout all stages of an infrastructure construction project.</li> </ul> <p>The following aspects of financial management of Defence materiel sustainment and logistics support:</p> <ul style="list-style-type: none"> <li>• spending progress reporting against budget allocations; and</li> <li>• cost assurance statements.</li> </ul>	
62318	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• all internal level reporting applicable to materiel sustainment and logistics support used to develop and inform higher level reports (excluding reporting to government); and</li> <li>• allocation of materiel sustainment and logistics support funds for minor capability programs.</li> </ul>	Destroy 10 years after disposal of asset
62319	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• interim materiel sustainment and logistics support policies and directives;</li> <li>• logistics support manuals, handbooks and standard operating procedures;</li> <li>• negotiation, implementation, amendment and review of routine logistics and support agreements and arrangements;</li> <li>• general compliance activities applicable to materiel sustainment and logistics support, including compliance certificates and requirements information, and excluding other materiel engineering</li> </ul>	Destroy 7 years after last action

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Class no	Description of records	Disposal action
	<p>and maintenance;</p> <ul style="list-style-type: none"> <li>• development and establishment of materiel sustainment plans, excluding financial plans;</li> <li>• development and establishment of logistics support plans for Defence exercise, training and non-operational tasks, excluding personnel and health plans, and financial plans;</li> <li>• authorisations applicable to materiel sustainment and logistics support;</li> <li>• formal materiel sustainment and logistics support 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 for materiel sustainment and logistics support funds transfers;</li> <li>• preparation and payment of money applicable to materiel sustainment and logistics support; and</li> <li>• mortuary services, including chemical inspection reports, waste disposal, refrigeration, transport, storage.</li> </ul> <p>The disposal of:</p> <ul style="list-style-type: none"> <li>• general materiel stores and supplies; and</li> <li>• petroleum, oils, lubricants and associated products.</li> </ul> <p>The following aspects of Defence materiel and supplies:</p> <ul style="list-style-type: none"> <li>• supply chain management and reverse supply chain management including planning, implementation and control of materiel;</li> <li>• procuring and provisioning of supplies including classes of supply 1-10; <ul style="list-style-type: none"> <li>• Class 1 – Subsistence items including foodstuffs, both fresh and packaged, and water</li> <li>• Class 2 – General Stores, including clothing, individual equipment, tents, tool sets and kits, hand tools, stationery and other general administrative and household items</li> <li>• Class 3 – Petroleum, oils and lubricants (POL). Includes other hazardous liquids, chemicals and gases such as liquefied petroleum gas and hexamine</li> <li>• Class 4 – Construction stores</li> <li>• Class 5 – Ammunition</li> <li>• Class 6 – Personal demand items</li> <li>• Class 7 – Principal items (including vehicles, small; arms and communications equipment)</li> <li>• Class 8 – Medical, dental and veterinary stores</li> <li>• Class 9 – Repair parts and components</li> </ul> </li> </ul>	

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Class no	Description of records	Disposal action
	<ul style="list-style-type: none"> <li>• Class 10 – Non-military stores (includes miscellaneous items required for support to non-military programs).</li> <li>• inventory management of materiel;</li> <li>• storage and distribution of supplies; and</li> <li>• salvage of materiel and supplies.</li> </ul> <p>The preparation and conduct of the following transport methods:</p> <ul style="list-style-type: none"> <li>• sealift;</li> <li>• logistics over-the-shore;</li> <li>• road transport;</li> <li>• airlift;</li> <li>• rotary wing transport;</li> <li>• rail transport;</li> <li>• pipelines;</li> <li>• animal and human portorage;</li> <li>• sea terminals;</li> <li>• air terminals; and</li> <li>• land-based terminals</li> <li>• movement of materiel by Defence.</li> </ul>	
62320	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• general research undertaken to inform materiel sustainment and logistics support decisions;</li> <li>• the conduct and outcomes of materiel sustainment and logistics support planning conferences;</li> <li>• receipt and provision of generalist materiel sustainment and logistics support advice;</li> <li>• administration relating to the environmental management factors influencing site selection for logistics support to Defence exercises and training;</li> <li>• delegations and authorisations from Defence to Customs Officers to act or be appointed under their legislation for the conduct of business;</li> <li>• provision of: <ul style="list-style-type: none"> <li>• technical, general and training support services to bases and facilities;</li> <li>• catering services; and</li> <li>• laundry and showering services, including site issues, inspections and decontamination.</li> </ul> </li> <li>• movements appreciations, movement schedules and the movement of force elements and individuals.</li> </ul>	Destroy 5 years after last action

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Class no	Description of records	Disposal action
62321	<p>Records documenting the following supply activities:</p> <ul style="list-style-type: none"> <li>• unit requisitions of materiel and supplies;</li> <li>• routine inventory management and administration;</li> <li>• inventory management of explosive ordnance;</li> <li>• administration relating to the storage of supplies;</li> <li>• administration relating to the distribution of materiel and supplies; and</li> <li>• administration relating to the salvage of materiel and supplies.</li> </ul> <p>The following materiel maintenance activities:</p> <ul style="list-style-type: none"> <li>• demands and requests for by Defence end users to service providers; and</li> <li>• materiel maintenance non-technical inspections.</li> </ul>	Destroy 12 months after verification of the transcribed data has been completed
62322	<p>Records documenting following low level administrative support activities:</p> <ul style="list-style-type: none"> <li>• routine administration of technical base support services, general services, general facilities and general training support facilities;</li> <li>• provision of catering;</li> <li>• provision of laundry and showering services other than those covered in class 62320;</li> <li>• provision of mortuary services other than those covered in class 62319; and</li> <li>• provision of postal services.</li> </ul>	Destroy 6 months after last action
62323	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• routine administrative tasks supporting the core business; and</li> <li>• Materiel Sustainment and Logistical Support activities other than those covered in classes 62312 to 62322.</li> </ul>	Destroy 3 years after last action