



Australian Government

National Archives of Australia

Records Authority

2018/00403627

Department of Defence

Defence Specialised Premises Management

2020



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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 areas of DEFENCE SPECIALISED PREMISES MANAGEMENT. 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 RDA 536(1988) and RDA 845 (1992). It also partially supersedes CA 999-2 and RDAs 508, 569, 647, 782, 806, 853, 1013, 1157, 1222, 1242, 1298, 1357 and 1406. These records authorities or specific classes in partially superseded records authorities cannot be used to sentence records after the date of issue of this authority.
2. This authority relates to premises built for the Department of Defence specifically to support the core business of the Australian Defence Force. Defence Specialised Premises form part of the broader Defence Estate and Infrastructure Group.
3. Examples of these premises range from individual buildings such as: the Submarine Escape Training Facility at HMAS Stirling in Western Australia; small Army Reserve training depots such as the Gaza training depot in Armidale, New South Wales and larger Army bases such as Lavarack Barracks in Townsville accommodating up to 5000 people; naval bases such as Fleet Base East at Garden Island in Sydney; RAAF bases such as RAAF East Sale in Victoria and bare bases such as RAAF Scherger in Queensland; heritage listed precincts such as Victoria Barracks in Sydney; and large training areas such as Yampi Sound in Western Australia protected by environmental legislation.
4. 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.
5. 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).
6. 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.
 7. 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.
 8. 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.
 9. 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. 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.
 10. 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.
 11. 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*.
 12. 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.
 13. 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.
 14. 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 2018/00403627

Person to whom notice of authorisation is given:

Mr Greg Moriarty
Secretary
Department of Defence
Russell Offices
Canberra ACT 2600

Purpose:

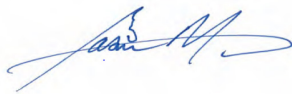
Authorises arrangements for the disposal of records in accordance with Section 24(2)(b) of the *Archives Act 1983*.
Determines records classed as 'retain as national archives' in this records authority to be part of the archival resources of the Commonwealth under section 3C of the *Archives Act 1983*.

Application:

All core business records relating to Defence Specialised Premises Management

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



Jason McGuire
A/g Assistant Director-General, Government Data and Policy
National Archives of Australia

Date of Issue: 19 August 2020

DEFENCE SPECIALISED PREMISES MANAGEMENT

The core business of acquiring, managing and disposing of Defence specialised premises. Includes needs identification, design, delivery, operation, maintenance and disposal, as well as the prevention and management of environmental impact from Defence activities utilising buildings and land allotments owned, rented, or leased by Defence. Also includes pollution prevention, remediation of contamination and removal of waste.

Defence specialised premises covers a broad spectrum of properties within the Defence estate with a wide range of uses and designed to support the core business of Defence. It includes individual buildings, bases, and onshore and offshore training areas. Regardless of scale or size, the role of these premises in the broader community is significant for cultural, social, economic and historical reasons.

The **core activities** include:

- acquiring, including compulsory acquisition and purchasing;
- creating and maintaining registers of Defence specialised premises;
- managing compensation appeals;
- inception, design, construction and fit-out of premises, including the installation of equipment;
- certification and compliance for handover;
- operation and maintenance;
- conservation and enhancement;
- developing and implementing disaster plans;
- disposal of Defence specialised premises;
- carrying out inspections (routine and to determine the existence of contaminants);
- pollution prevention, remediation of contamination and removal of waste and hazardous material; and
- naming Defence specialised premises.

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

- providing and receiving advice and other forms of information;
- negotiating, establishing, implementing agreements and contracts;
- developing and implementing policies and directives;
- managing internal and external audits, including inventory audits;
- managing committees, groups, boards and forums;
- compliance;
- intellectual property management;
- liaison and coordination;
- reporting;
- risk assessment and management; and
- developing, implementing and reviewing operational plans and procedures.

Cross references to other Defence records authorities

For the provision of estate and infrastructure management, as well as management of the environment by Defence in an operational setting, use DEFENCE OPERATIONS RECORDS AUTHORITY – LOGISTICS SUPPORT TO OPERATIONS.

For removing unexploded ordnance, use DEFENCE OPERATIONS RECORDS – CONDUCT OF OPERATIONS.

For strategic level planning, policies, directives and reporting, use DEFENCE STRATEGY AND ADVICE.

For Defence capability project documents concerning environment and heritage aspects, use DEFENCE CAPABILITY DEVELOPMENT, ACQUISITION AND DISPOSAL.

For In-Service aspects of updating, upgrading or extending the life-of-type of project based Defence capability support system infrastructure, use DEFENCE CAPABILITY DEVELOPMENT, ACQUISITION AND DISPOSAL.

For capability system acquisition and support acquired under the capability system Materiel Acquisition Agreement and Materiel Sustainment Agreement such as infrastructure funded and procured as part of a materiel support system, use DEFENCE CAPABILITY DEVELOPMENT, ACQUISITION AND DISPOSAL.

For disposal of project based Defence capability support system infrastructure, use DEFENCE CAPABILITY DEVELOPMENT, ACQUISITION AND DISPOSAL.

For the provision of base support services at Defence estates and establishments, use DEFENCE MATERIEL SUSTAINMENT AND LOGISTICS SUPPORT.

For Defence service agreements, shared service agreements and military workforce agreements, use DEFENCE MATERIEL SUSTAINMENT AND LOGISTICS SUPPORT, or DEFENCE PERSONNEL, HEALTH AND WELFARE.

For Defence relocations and removals, use DEFENCE PERSONNEL, HEALTH AND WELFARE.

For infrastructure specific information communications technology and base security services, use DEFENCE INTELLIGENCE, COMMUNICATIONS, SECURITY AND OTHER GEOSPATIAL SERVICES.

Cross references to AFDA Express Version 2

For contracts under seal or deeds, use CONTRACTS UNDER SEAL/DEEDS.

For the management of non-specialised Defence premises, use PROPERTY MANAGEMENT.

For potential exposure to hazardous substances, including asbestos, or records detailing that an employee was located at places identified as containing hazardous substances, use PERSONNEL MANAGEMENT.

For OH&S inspections resulting from major accident in the workplace (e.g. accidents causing fatalities, serious injuries or dangerous occurrences), use WORK HEALTH AND SAFETY.

For finance not directly related to Defence specialised premises, use FINANCIAL MANAGEMENT.

CLASSES

| Class no | Description of records | Disposal action |
|----------|--|-----------------------------|
| 62502 | <p>Records documenting:</p> <ul style="list-style-type: none"> • inception and management of infrastructure projects, including environmental impact assessments, operational user requirements and budgetary estimates; • design of specialised premises, including preliminary design reports and final designs and schematics; • acquisition of new or existing properties; • construction of premises, including planning documentation, statement of requirements, tender evaluation, works programs and completion reports and certification; • registers of specialised premises, such as the Key Defence Asset Register; • delivery of premises, including building code compliance reports and fire protection engineering compliance assessment reports; • high-level management plans; • reviews of programs and operations affecting the management of Defence premises; • establishing and reviewing significant agreements and arrangements, such as the \$2 billion Australia/US cost-sharing infrastructure agreement for northern Australia <p><i>[Excludes agreement and arrangements related to capability project acquisition and sustainment];</i></p> <ul style="list-style-type: none"> • developing, establishing and implementing policies and directives; • formal committees, groups, boards and forums; • intellectual property management; • selection of sites for Defence activities based on environmental, cultural and heritage management factors; • naming of Defence estates, establishments, infrastructure and facilities, including the naming of streets and features; and • disposal of premises, including environmental site closure survey reports and site remediation. | Retain as national archives |

| Class no | Description of records | Disposal action |
|----------|--|---|
| 62503 | Records documenting: <ul style="list-style-type: none"> • naming of Defence estates, establishments, infrastructure and facilities, including the naming of streets and features; • ongoing management of Defence sites and the environment in those sites. <i>[Excludes final remediation activities as part of the site disposal phase];</i> and • audits and inspections for asbestos and other hazardous materials, and their subsequent removal and disposal. | 75 years after action completed |
| 62504 | Records documenting: <ul style="list-style-type: none"> • final external audit reports, such as those conducted the Australian National Audit Office, where the audit report is qualified by the Auditor-General; and • compliance with specified standards and specifications such as material specifications, supplier competency and technical regulatory specifications. | Destroy 25 years after last action |
| 62505 | Certified true copies of Defence property logbooks, equipment history, maintenance records and operating manuals. | Destroy 25 years after disposal of property |
| 62506 | Contract management records relating to any supplied materiel or services supporting Defence specialised premises. | Destroy 15 years after last action |
| 62507 | Records documenting: <ul style="list-style-type: none"> • receipt and provision of authoritative advice; • final internal audit reports, such as those conducted by external commercial auditing bodies contracted by the organisation to undertake an audit, or internally within the organisation); • liaison and coordination; • all internal reporting used to develop and inform higher level reports covered in class 62502 <i>[Excludes reporting to government];</i> • maintenance activities, including plans, reports and reviews; • risk management activities <i>[Excludes Environmental Impact Assessments, cultural assessments and heritage assessments containing information relating to risk];</i> | Destroy 10 years after last action |

| Class no | Description of records | Disposal action |
|----------|--|-----------------------------------|
| | <ul style="list-style-type: none"> • general administration throughout all stages of construction projects <i>[Excludes records relating to personnel contacting or exposed to hazardous substances, and records relating to relating to WHS inspections resulting from major accident in the workplace];</i> • decisions, assessments, reporting and declarations for Australian quarantine and bio-security management; and • non-compliant audit reports and supporting documentation of an internal or external financial audit where: <ul style="list-style-type: none"> ○ the audit report is qualified by the Auditor-General, and ○ there are major or significant changes to current practices. | |
| 62508 | Records documenting: <ul style="list-style-type: none"> • negotiation, implementation, amendment and review of routine agreements and arrangements; • interim policies and directives; • general compliance activities, including compliance certificates and requirements information; and • compliant audit reports and supporting documentation of internal or external financial audits where: <ul style="list-style-type: none"> ○ the audit report has been accepted by the Auditor-General, and ○ there are no changes or only minor or routine changes to current practices. | Destroy 7 years after last action |
| 62509 | Records documenting: <ul style="list-style-type: none"> • receipt and provision of generalist advice; and • administration related to environmental management factors influencing site selection for Defence activities. | Destroy 5 years after last action |
| 62510 | Records documenting: <ul style="list-style-type: none"> • routine administrative tasks supporting the core business; and • Defence Specialised Premises Management activities other than those covered in classes 62502-62509. | Destroy 3 years after last action |