



Australian Government



**NATIONAL
ARCHIVES
OF AUSTRALIA**

Records Authority

2019/00128630

Department of Defence

*Defence History Curation
and Collections 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 area of Defence History Curation and Collections 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 replaces records disposal authority class 81 in both RDA 1157 (1994) and RDA 1222 (1995). It also replaces classes 1.1, 3.2.1 and 3.3 in RDA 1357 (1999) and class 1 in RDA 1013 (1993). These classes have been superseded and cannot be used to sentence records after the date of issue of this authority.
2. 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.
3. 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).
4. 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.

5. 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.
6. 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.
7. 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. 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.
8. 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.
9. 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*.
10. 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.
11. Appropriate arrangements should be made with the National Archives when records are to be transferred into custody. The National Archives accepts for transfer only those records designated as national archives. Records created digitally after 1 January 2016 can be transferred in digital formats only.
12. 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 2019/00128630

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*.

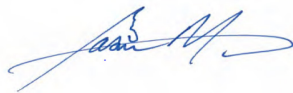
Determines records classed as 'retain as national archives' in this records authority to be part of the archival resources of the Commonwealth under section 3C of the *Archives Act 1983*.

Application:

All core business records relating to Defence History Curation and Collections 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 HISTORY CURATION AND COLLECTIONS MANAGEMENT

The core business of researching, writing, preserving and promoting the history and heritage of the Australian Defence Force (ADF) and its Services (Navy, Army and Air Force) including the ADF Service history units and museums. The core business supports modernisation, doctrine development, training and education needs, to educate the ADF and the Australian community about the ADF's history and to meet history and heritage command, policy and statutory responsibilities.

Defence history and collections consists of four core areas:

- collection: identifying, collecting, preserving and managing Defence records identified as essential information describing the conduct of ADF operations and the service of ADF personnel. The collection activity of the Service History Units enables the identification of records which have long term historical relevance to the ADF.
- preservation: the conservation and management of military history and heritage to meet statutory obligations and for the purposes of education and research.
- research: supporting ADF's modernisation and strategy by reviewing previous historical context and its application to current circumstances. Research also meets the education/training needs of the ADF and its Services including providing answers to internal and external questions relating to ADF military history.
- education: the expansion of the level and quality of the knowledge of military history with the aims of informing decision making and debate, and enhancing support for the ADF.

The **core tasks** associated with Defence History and Collections include:

- collection development and management activities including acquiring, documenting, controlling, researching and making accessible Defence's historical collections;
- preservation and conservation of military history, heritage records and heritage assets;
- military history and heritage related exhibition development and management; and
- military history and heritage related public program management, including managing military history prizes and awards.

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

- providing advice;
- managing committees and meetings;
- managing internal audits; and
- managing intellectual property rights of ADF service history units, museums and historical collections.

Excludes object collection items and Defence records covered by other Defence records authorities.

Cross references to other Defence records authorities

For records relating to ministerial submissions and responses to government and public inquiries, use DEFENCE STRATEGY AND ADVICE.

For records relating to the delivery of military history education to Defence personnel, use DEFENCE TRAINING.

For the disposal of records collected for historical relevance but no longer needed by Defence history units, use appropriate Defence records authorities

Cross references to AFDA Express Version 2

For contracting and tendering processes, use *PROCUREMENT*

For the acquisition of good and services, use *ASSET MANAGEMENT*

For legal advice on the establishment and general management of intellectual property for publications, use *LEGAL SERVICES*

For the management of Defence museum premises, use *PROPERTY MANAGEMENT*

Cross references to General Records Authorities

For grant management, use 2010/00389422 GRA 28 *GRANT MANAGEMENT*

CLASSES

Class no	Description of records	Disposal action
62577	<p>Records documenting:</p> <ul style="list-style-type: none"> • frameworks and policies that guide and direct the overall management of Defence history collections and its functions including master sets of manuals, handbooks and procedures; evaluations, reviews and reports; and committee records; • collection management frameworks and policies including the development, management and control of specific collections such as catalogues, registers, indexes and de-accessioning records; • preservation-specific frameworks, policies and management including final versions of preservation research reports and investigations and preservation standards, manuals, handbooks and procedures; • the history of specific Defence collections including contextual information regarding the collection, background information and provenance documents; • acquisition of collection items, including assessment, justification and acquisition documents such as agreements and transfer of ownership; • collection and maintenance of biographical information of individual artists, photographers, cinematographers and craftsmen whose works are part of Defence historical collections including biographies, photographs, interview summaries and copyright assignments; • development and management of exhibitions including travelling exhibitions; • authoritative advice and research specific to Defence History and Collections including final versions of research papers, publications and authoritative advice briefs; • military history prizes and awards; and 	Retain as national archives

Class no	Description of records	Disposal action
	<ul style="list-style-type: none"> frameworks, policies and strategic planning that directs the management of history collections public programs. Includes the published proceedings of conferences open to the public 	
62578	Records documenting: <ul style="list-style-type: none"> specific conservation treatments of Defence historical collections and individual collection items; preventative conservation activities of Defence historical collections and individual collection items; and outward loans of items from specific Defence historical collections to other collections or parties. 	Transfer to new owner when item is deaccessioned or destroy if item is destroyed
62579	Records documenting: <ul style="list-style-type: none"> committees, groups, boards and forums relating to Defence History and Collections including committee terms of reference, agendas, minutes and meeting papers. 	Destroy 20 years after action completed
62580	Records documenting: <ul style="list-style-type: none"> the proposed acquisition of collection items that do not proceed. 	Destroy 15 years after action completed
62581	Records documenting: <ul style="list-style-type: none"> inward loans of items from specific Defence historical collections or other parties 	Destroy 10 years after the loan completed
62582	Records documenting: <ul style="list-style-type: none"> valuations of Defence historical collections. 	Destroy 10 years after last action completed
62583	Records documenting: <ul style="list-style-type: none"> intellectual property rights over collection items 	Destroy 7 years after rights lapse
62584	Records documenting: <ul style="list-style-type: none"> temporary access of collection items; and general enquiries regarding Defence historical collections. 	Destroy 5 years after action completed
62585	Records documenting: <ul style="list-style-type: none"> routine administrative tasks supporting the core business; and Defence history and collection activities, other than those covered in classes 62577 to 62584. 	Destroy 3 years after action completed