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DISCIPLINARY INFRINGEMENT NOTICE

ASSUMED KNOWLEDGE

This Bench Level Instruction (BLI) uses the assumption that the person/s following the instructions has a basic understanding of Objective and their local business rules.

INTRODUCTION

The purpose of this BLI is to detail the record management process to be undertaken by personnel/units when administering the Disciplinary Infringement Notices (Form C1), IAW [Disciplinary Infringement Manual, Chapter 7](#) (note hyperlink to be added when Manual is released).

CONDUCT REPORTING AND TRACKING SYSTEM (CRTS)

The Discipline Officer who dealt with the infringement is responsible for ensuring the required data for all disciplinary infringements dealt with in their unit are entered into CRTS. Refer to the [Disciplinary Action Report Task \(Awaiting PMKeyS OLL to be updated\)](#) for a step-by-step instructions.

BLI SPONSOR: HQAC A1 KNOWLEDGE MANAGEMENT

VERSION: 1.0

DATE: 01 DEC 22

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DEFENCE INFRINGEMENT NOTICE RECORD MANAGEMENT

Event: Defence Infringement Issued to Member

Issuing unit action

1. When a Defence Infringement has been issued to a Member, the issuing unit is to send an email to the [Air Force UPR Management Team group mailbox](#) to request creation of the Disciplinary Infringement Notice folders within the Discipline folder of the member's UPR.
2. When sending the email, ensure the subject line of the email is titled as displayed below. Note – no other naming variations will be accepted.

Format:

YYMMDD – Request creation of Disciplinary Infringement Notice Folders – Surname PMKeyS

Example:

230116 – Request creation of Disciplinary Infringement Notice Folders – Bloggs 8000001

3. Below is suggested wording of the email for the request:

[AF UPR Team,](#)

[Please create the relevant infringement subfolder within the Discipline folder of the subject member's UPR.](#)

[The Infringement date is: DD MMM YY](#)

AF UPR management team action

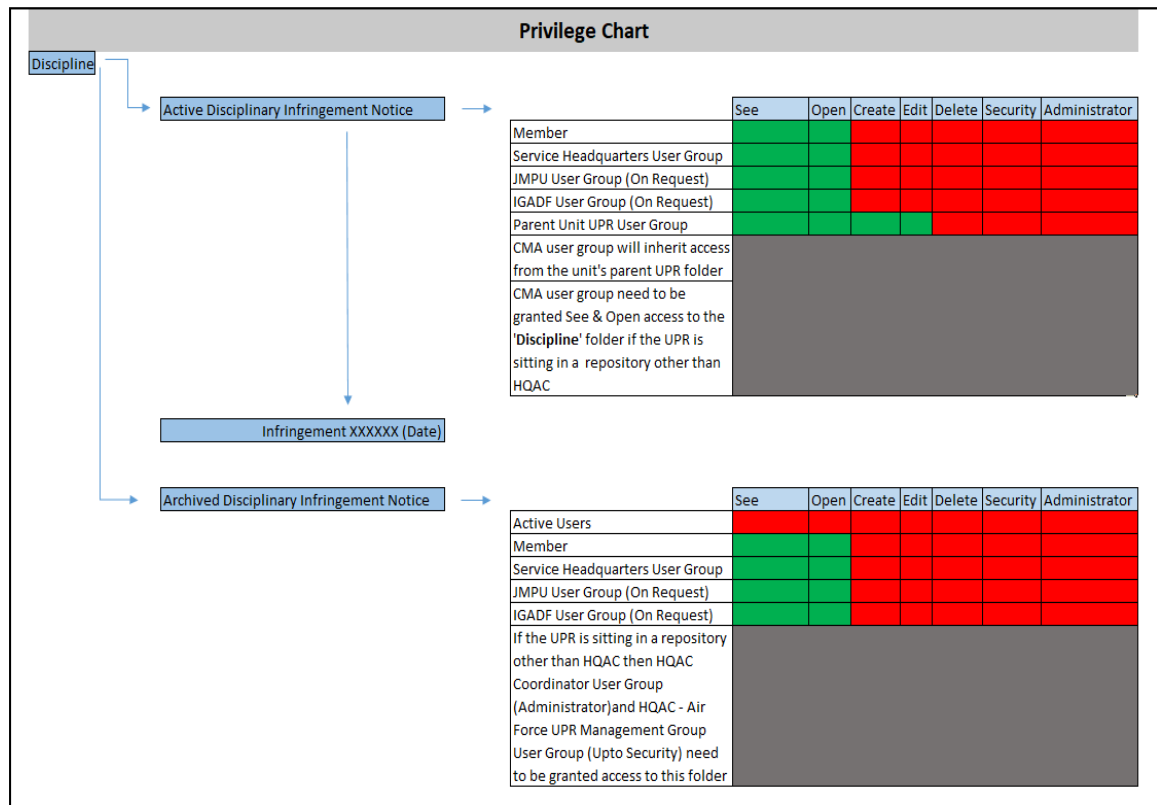
4. The AF UPR management team is to create the infringement subfolders within the Discipline folder of the member's UPR and apply appropriate privileges as detailed in the Privilege Chart (Diagram 1).
5. Subfolders to be created are:
 - a. Active Disciplinary Infringement Notice
 - b. Archived Disciplinary Infringement Notice.
6. Once the folders have been created, notification is to be made to the Issuing unit advising the folders have been created. Filing of all relevant documents into the folder is the responsibility of the Issuing unit.

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Diagram 1:



7. Note: Archived Disciplinary Infringement Notice folder in a member's UPR can only be accessed by authorised stakeholders, including Service HQ's, JMPU and IGADF.

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Event: Infringement Dismissed – Archiving Event

Issuing unit action

8. Once all of the relevant documents related to the Defence Infringement IAW the Defence Infringement Manual (DIM) have been filed, the Issuing unit is to email the AF UPR team and request archiving of the corresponding infringement subfolder, and attach an Objective link of the subfolder.

9. When sending the email, ensure the subject line of the email is titled as displayed below. Note – no other naming variations will be accepted.

Format:

YYMMDD – Archiving of Infringement Notice – Surname PMKeyS

Example:

230116 - Archiving of Infringement Notice – Bloggs 8000001

10. Below is suggested wording of the email for the request:

AF UPR Team,

Please archive the Defence Infringement subfolder – refer attached Objective link.

11. Issuing unit is to ensure the Archiving action within CRTS has been completed IAW the PMKeyS OLL.

AF UPR team action

Archiving Process:

12. Upon receiving the archiving notification email, the AF UPR Management team is to:

a. transfer the relevant Infringement Notice subfolder to the Archived Disciplinary Infringement Notice folder

b. ensure the privileges applied at Archived Disciplinary Infringement Notice folder are as per Diagram 1.

13. Note: Archived Disciplinary Infringement Notice folder in a member's UPR can only be accessed by authorised stakeholders, including Service HQ's, JMPU and IGADF.

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Event: Graduation from 1RTU/OTS/ADFA– Archiving event

14. Archiving event for members graduating from 1RTU/OTS/ADFA is as follows:
- 1RTU:** the day member completes the initial recruit training or discharge prior to completion of training.
 - OTS:** the day member completes the initial officer training or discharge prior to completion of training.
 - ADFA:** the day member completes ADFA or discharge prior to completion of training. For example:

Note: for Security Force Officers completing both RMC and OTS training, archiving will occur at the completion of graduation of the training component completed last.

Issuing unit action

15. Once the archiving event detailed in paragraph 14 has been achieved, the Issuing unit is to email the AF UPR team and request archiving of the corresponding infringement subfolder, and attach an Objective link of the subfolder.

16. When sending the email, ensure the subject line of the email is titled as displayed below. Note – no other naming variations will be accepted.

Format:

YYMMDD – Archiving of Infringement Notice – Surname PMKeyS

Example:

230116 - Archiving of Infringement Notice – Bloggs 8000001

17. Below is suggested wording of the email for the request:

[AF UPR Team,](#)

[Please archive the Defence Infringement subfolder – refer attached Objective link.](#)

18. Issuing unit is to ensure the Archiving action within CRTS has been completed IAW the PMKeyS OLL.

AF UPR team action

Archiving Process:

- Refer to paragraph 12 for archiving process.

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Event: Member Posts with Active Infringement or Posted before Substantive Promotion web date

Parent unit action

19. No action required by the parent unit.

AF UPR team action

20. As part of the AF UPR transfer on posting process, the AF UPR management team is to remove the losing unit Defence Infringement Objective User Group and add the gaining unit Defence Infringement Objective User Group to privilege authorised personnel against the infringement subfolder. Refer Diagram 1 for privilege accesses to be applied.

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Event: Member Substantively Promoted – Archiving event

Issuing unit action

21. No action required by the parent unit.

AF UPR team action

22. Active infringements in a member's UPR issued prior to their substantive promotion are to be archived.

23. A customised PMKeyS report/query ([under development with HRIS-AF](#)) is to be run monthly by the AF UPR management team. This report will identify members who have been substantively promoted and hold an active infringement.

24. Refer paragraph 12 for archiving process.

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Member ceases all forms of Service – Archiving event

Issuing unit action

25. No action required by the parent unit.

AF UPR team action

26. The AF UPR management team is to review the weekly posting report and identify members ceasing all forms of service as per the below table:

CEASING ALL FORMS OF SERVICE	
Medical Discharge	Discharge on Request
Termination	Service Transfer
Compulsory Retirement Age	

27. Any active Defence Infringements are to be transfers to the Archive subfolder. Refer paragraph 12 for archiving process.

28. As part of the UPR transfer process on discharge, the AF UPR management team is to follow the separate process to relocate the member's UPR to a Discharged folder within the Air Force Personnel Files Objective structure.

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CHAPTER 7

DISCIPLINARY INFRINGEMENT RECORDS



This page is exempt under Section 22 of the Freedom of Information Act.

7.10 **Storage of records.** Disciplinary infringement records are to be kept at the unit in the first instance. The Form C1 Disciplinary Infringement Notice and any attached evidence must be filed on the unit Disciplinary Infringements file in the approved electronic document management system. Any hard copy documents should be digitized in accordance with the Defence Records Management Policy. Filing action is to be recorded in Part 4 of the Form C1 Disciplinary Infringement Notice. There is no requirement to maintain a Disciplinary Infringements Register (eg. a spreadsheet) because all relevant information is contained in the completed Form C1 Disciplinary Infringement Notice and required to be entered into CRTS. Data in CRTS can be retrieved to support oversight and audit functions.

⁵⁶ MILPERSMAN – Part 9 – Chapter 7

7.11 **Archiving of records.** The CO is responsible for transferring storage of the records to the relevant Service Headquarters in the following circumstances:

- a. **Form C1 Disciplinary Infringement Notice and any evidence.** These records must be archived to the Service Headquarters as soon as practicable after any of the following occurs:
 - (1) the member does not elect to be dealt with under the infringement scheme
 - (2) the disciplinary infringement is dismissed
 - (3) the member graduates from initial recruit or officer training
 - (4) the member is substantively promoted to a higher rank
 - (5) the service of the member ends.
- b. **Discipline officer monthly reports.** These records must be archived to the Service Headquarters as soon as practicable after the commanding officer has considered the report in accordance with Service Headquarters processes.

Access to records

7.12 The CO is responsible for ensuring that information in disciplinary infringement records is only accessed, used and disclosed by personnel who are authorised and for a proper purpose. The following personnel are authorised to access, use and disclose information in disciplinary infringement records:

- a. infringed members, in relation to disciplinary infringement records that are about themselves
- b. personnel who are performing functions under the Defence Force Discipline Act 1982, to the extent necessary to perform those functions
- c. personnel who are performing records management functions under the Disciplinary Infringement Scheme, to the extent necessary to perform those functions
- d. persons who are assisting the CO to perform their functions under the Disciplinary Infringement Scheme, to the extent necessary to provide the required support
- e. the CO and other persons in the chain of command, to the extent necessary, for the purpose of:
 - (1) personnel management of members
 - (2) discipline management of members
 - (3) discipline management of the unit or establishment to which the member is posted or detached.

7.13 Access to records after posting of infringed member. If an infringed member is posted to another unit before the archiving requirement described above, the losing CO is responsible for ensuring that the member's new commanding officer is given access to the record as soon as practicable, and that access is removed for the old unit. This will generally be achieved by the electronic or physical transfer of records into the custody of the new CO.

7.14 Access to records after temporary duties away from the member's home unit. If an infringed member is dealt with under the Disciplinary Infringement Scheme while temporarily assigned to another unit (for example, force assigned to Joint Operations Command, attending a training course), the CO of the temporarily assigned unit is to ensure that the member's usual CO is given access to the record as soon as practicable, and that access is removed for the temporary unit once the member returns to their usual unit. This will generally be achieved by the electronic or physical transfer of records into the custody of the usual CO.

7.15 Access to records after archiving. The CO and other unit personnel are not authorised to access, use or disclose information in Disciplinary Infringement records once the records has been archived to the Service Headquarters.

Administration of disciplinary infringement files

7.16 COs are responsible to ensure that Discipline Infringement files, and the records within them, are raised and maintained in accordance with the [Defence Records Management Policy](http://intranet.defence.gov.au/home/documents/data/publications/policy-documents/Defence_Records_Management_Policy.pdf).⁵⁷

7.17 The Disciplinary Infringement files should generally be raised as virtual files within an approved Defence Records Management System. In some circumstances, it may be necessary to raise a mixed mode or physical file – in this case, records should be digitized and stored electronically as soon as practicable.

7.18 Access to the Disciplinary Infringement file should be granted to personnel in the unit who:

- a. perform a function within the Disciplinary Infringement Scheme, including Infringement Officers, discipline officers, and unit discipline advisors (such as NPC/RSM/unit WOFF)
- b. perform a function in respect of the management of records
- c. support the CO to perform their functions in the Disciplinary Infringement Scheme.

⁵⁷ http://intranet.defence.gov.au/home/documents/data/publications/policy-documents/Defence_Records_Management_Policy.pdf

This page and the following page is exempt under Section 22 of the Freedom of Information Act.

CHAPTER 2

FORMAL WARNINGS AND CENSURES IN THE
AUSTRALIAN DEFENCE FORCE

This page and the following 5 pages are exempt under Section 22 of the Freedom of Information Act.

RECORDING, FILING AND DISTRIBUTION

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2.43 All records relating to formal warnings and censures, whether imposed or not, current, expired or cancelled, are required to be retained as a permanent record on file in accordance with the [Archives Act 1983](#) and individual Service requirements. However, formal warnings and censures that were cancelled or not imposed, should be annotated accordingly. [Annex 2A](#) provides details on filing and distribution.

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