

State Archives and Records Authority of New South Wales

Functional Retention and Disposal Authority: FA403

This authority covers records documenting the function of Transport strategic planning, network operations, safety and regulation

This retention and disposal authority is approved under section 21(2)c of the *State Records Act 1998* following prior approval by the Board of the State Archives and Records Authority of New South Wales in accordance with section 21(3) of the Act.

**State Archives and Records Authority of New
South Wales**

Functional Retention and Disposal Authority

**Authority
no** FA403

SR file no 16/0502

Scope This retention and disposal authority covers records documenting the function of transport strategic planning, network operations, safety and regulation.

**Public
office** Transport for NSW

Issue date 25 February 2019
Amended 24 August 2022
(entries 2.1.2 and 2.8.1 references to tow truck drivers removed as covered by FA430 Consumer protection).

About the Functional Retention and Disposal Authority

Purpose of the authority

The purpose of this retention and disposal authority is to identify those records created and maintained by NSW public offices which are required as State archives and to provide approval for the destruction of certain other records created and maintained by NSW public offices, after minimum retention periods have been met.

The approval for disposal given by this authority is given under the provisions of the *State Records Act 1998* only and does not override any other obligations of an organisation to retain records.

The retention and disposal of State records

The records retention and disposal practices outlined in this authority are approved under section 21(2)(c) of the *State Records Act 1998 (NSW)*. Part 3 (Protection of State Records) of the Act provides that records are not to be disposed of without the consent of the State Archives and Records Authority of New South Wales (State Archives and Records NSW) with certain defined exceptions. These exceptions include an action of disposal which is positively required by law, or which takes place in accordance with a normal administrative practice (NAP) of which State Archives and Records NSW does not disapprove. Advice on the State Records Act can be obtained from State Archives and Records NSW.

The authority sets out how long the different classes of records generated by an organisation must be kept to meet its legal, operational and other requirements, and whether the records are to be kept as State archives. State Archives and Records NSW reviews and approves organisations' retention and disposal authorities under the *State Records Act*. It is the duty of a public office, in submitting a draft retention and disposal authority for approval, to disclose to State Archives and Records NSW any information which affects the retention of the records covered by the authority.

State Archives and Records NSW's decisions take into account both the administrative requirements of public offices in discharging their functional responsibilities and the potential research use of the records by the NSW Government and the public. One of State Archives and Records NSW's functions is to identify and preserve records as State archives. These are records which document the authority and functions of Government, its decision-making processes and the implementation and outcomes of those decisions, including the nature of their influence and effect on communities and individual lives. Criteria for the identification of State archives are listed in *Building the Archives: Policy on records appraisal and the identification of State archives*. The Policy also explains the roles and responsibilities of State Archives and Records NSW and of public offices in undertaking appraisal processes and disposal activities.

Implementing the authority

This retention and disposal authority covers records controlled by the public office and applies only to the records or classes of records described in the authority. The authority should be implemented as part of the records management program of the organisation. Two primary objectives of this program are to ensure that records are kept for as long as they are of value to the organisation and its stakeholders and to enable the destruction or other disposal of records once they are no longer required for business or operational purposes.

The implementation process entails use of the authority to sentence records. Sentencing is the examination of records in order to identify the disposal class in the authority to which they belong. This process enables the organisation to determine the appropriate retention period and disposal action for the records. For further advice see *Implementing a retention and disposal authority*.

Where the format of records has changed (for example, from paper-based to electronic) this does not prevent the disposal decisions in the authority from being applied to records which perform the same function. The information contained in non paper-based or technology dependant records must be accessible for the periods prescribed in the classes. Where a record is copied, either onto microform or digitally imaged, the original should not be disposed of without authorisation (see the *General Retention and Disposal Authority – Original or source records that have been copied*). Public offices will need to ensure that any software, hardware or documentation required to gain continuing access to technology dependent records is available for the periods prescribed.

Disposal action

Records required as State archives

Records which are to be retained as State archives are identified with the disposal action 'Required as State archives'. Records that are identified as being required as State archives should be stored in controlled environmental conditions and control of these records should be transferred to State Archives and Records NSW when they are no longer in use for official purposes.

The transfer of control of records as State archives may, or may not, involve a change in custodial arrangements. Records can continue to be managed by the public office under a distributed management agreement. Public offices are encouraged to make arrangements with State Archives and Records NSW regarding the management of State archives.

Transferring records identified as State archives and no longer in use for official purposes to State Archives and Records NSW should be a routine and systematic part of a public office's records management program. If the records are more than 25 years old and are still in use for official purposes, then a 'still in use determination' should be made.

Records approved for destruction

Records that have been identified as being approved for destruction may only be destroyed once a public office has ensured that all other requirements for retaining the records are met. Retention periods set down in this authority are *minimum* periods only and a public office should keep records for a longer period if necessary. Reasons for longer retention can include legal requirements, administrative need, government directives and changing social or community expectations. A public office **must not** dispose of any records where the public office is aware of possible legal action (including legal discovery, court cases, formal applications for access) where the records may be required as evidence.

Once all requirements for retention have been met, destruction of records should be carried out in a secure and environmentally sound way. Relevant details of the destruction should be recorded. See *Destruction of records: a practical guide*.

Organisations should review functional retention and disposal authorities regularly to ensure that they remain relevant as the organisation's functions and activities, operating environment and requirements for records change. Retention requirements may change over time. This can occur when:

- business needs or practices change
- new laws, regulations or standards are introduced
- new technology is implemented
- government administration is restructured and functions are moved between entities, or
- unforeseen or new community expectations become apparent.

State Archives and Records NSW recommends that organisations check any functional retention and disposal authorities more than 5 years old to ensure that the retention periods and disposal actions remain relevant.

Regardless of whether a record has been approved for destruction or is required as a State archive, a public office or an officer of a public office **must not** permanently transfer possession or ownership of a State record to any person or organisation without the explicit approval of State Archives and Records NSW.

Administrative change

This retention and disposal authority has been designed to link records to the functions they document rather than to organisational structure. This provides for a stable retention and disposal authority that is less affected by administrative change. The movement of specified functions between branches or units within the public office does not require the authority to be resubmitted to State Archives and Records NSW for approval. However, when functions move from one public office to another the public office that inherits the new function should contact State Archives and Records NSW to discuss use of any existing retention and disposal authority approved for use by a predecessor organisation.

Amendment and review of this authority

State Archives and Records NSW must approve any amendment to this authority. Public offices that use the authority should advise State Archives and Records NSW of any proposed changes or amendments to the authority.

State Archives and Records NSW recommends a review of this authority after five years to establish whether its provisions are still appropriate. Either the public office or State Archives and Records NSW may propose a review of the authority at any other time, particularly in the case of change of administrative arrangements, procedures or to operating environments which are likely to affect the value of the records covered by this authority.

In all cases the process of review will involve consultation between State Archives Records NSW and the public office. If the process of review reveals that this authority requires amendment, the necessary amendments should be made and approved.

Contact Information

State Archives and Records NSW
PO Box 516
Kingswood NSW 2747
Telephone: (02) 9673 1788
E-mail: govrec@records.nsw.gov.au

Functional Retention and Disposal Authority

Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

List of Functions and Activities covered

Function	Activity	Reference	Page
TRANSPORT NETWORK OPERATIONS		1.0.0	7
	Customer and passenger services and community engagement	1.1.0	7
	Funding and subsidy schemes	1.2.0	8
	Network monitoring	1.3.0	9
	Ticketing and Fares	1.4.0	9
	Waterways	1.5.0	11
TRANSPORT SAFETY AND REGULATION		2.0.0	12
	Accreditation	2.1.0	12
	Agreements	2.2.0	14
	Breach and infringement management	2.3.0	15
	Compliance and monitoring	2.4.0	16
	Fees and Charges	2.5.0	16
	Incident management	2.6.0	17
	Industry training	2.7.0	18
	Licensing and permits	2.8.0	19
	Registration	2.9.0	21
	Safety programs	2.10.0	23
	Standards	2.11.0	23
TRANSPORT NETWORK PLANNING		3.0.0	25
	Strategic transport planning	3.1.0	25
	Timetables and scheduling	3.2.0	26

Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

List of Functions and Activities covered

Function	Activity	Reference	Page
	Reporting	3.3.0	27

Functional Retention and Disposal Authority

Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

No.	Description of records	Disposal action
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1.0.0 TRANSPORT NETWORK OPERATIONS

The function of planning for and managing the operations, performance and usage of the transport networks, including road, rail, light rail, bus, ferry and waterway networks and systems.

1.1.0 Customer and passenger services and community engagement

See Functional Retention and Disposal Authority *Passenger Transport Services (ticketing and fares)* **Ticketing and fares** for records relating to the application, issue, cancellation or termination of travel passes (including subsidised and concession fare products), customer and non-customer data and data relating to individual journeys.

See General Retention and Disposal Authority *Administrative records* **Community relations - Customer service** for records relating to charters, standards or guarantees relating to the provisions of services to clients and the administration of specialised customer services, e.g. help desks, interpreters, services for disabled customers etc.

See General Retention and Disposal Authority *Administrative records* **Community relations - Enquiries** for records relating to the handling of routine enquiries from the public about driver licensing, vehicle registration activities, boating licence application processes, testing renewals etc.

See General Retention and Disposal Authority *Administrative records* **Community relations - Marketing** for records relating to analysing, creating and selling products and services.

See General Retention and Disposal Authority *Administrative records* **Financial management - Accounting** for records relating to payments from the auctioning of unclaimed lost property

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Public reaction** for records relating to complaints and suggestions about the organisation's operations, policies or services.

See **TRANSPORT NETWORK OPERATIONS - Policy** for records relating to the development of policy for community transport services.

See Functional Retention and Disposal Authority *Transport Infrastructure* for records relating to community engagement undertaken as part of the planning or development of transport infrastructure projects or programs.

1.1.1	Final versions of campaign materials, such as posters, advertisements, etc., developed as part of programs and campaigns to promote the use of transport networks and passenger services.	Required as State archives
1.1.2	Records relating to the development of campaign and program material.	Retain minimum of 5 years after action completed, then destroy
1.1.3	Records relating to the handling and management of lost property. Records include lost property registers and records documenting the receipt and return or	Retain minimum of 7 years after action completed, then

Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

TRANSPORT NETWORK OPERATIONS- Customer and passenger services and community engagement

	disposal of lost property items.	destroy
1.1.4	Records documenting routine operational management of passenger services. Includes quotations for travel packages, travel reservations, itineraries, accommodation arrangements and bookings, on-board passenger services, luggage handling, ticket inspection and passenger manifests.	Retain minimum of 2 years after action completed, then destroy

1.2.0 Funding and subsidy schemes

The activity of providing funding and subsidies to support the operation of transport networks and provision of transport services. Includes funding of private and public transport operators, local government and community organisations and transport providers.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Compliance** for records relating to allegations of misconduct relating to providers of transport services.

1.2.1	<p>Records relating to the management of applications for grants, funding, financial assistance and subsidies to operate or provide transport services. This includes:</p> <ul style="list-style-type: none"> • taxi transport subsidies • school transport schemes • fare concession schemes • community transport schemes and services. <p>Records include:</p> <ul style="list-style-type: none"> • applications and supporting documents • appeals, cancellations and withdrawals • records documenting approvals for the disbursement or allocation of grants, funding and subsidies • correspondence with and reporting by operators or service providers • reports and reviews of funding and subsidy programs or schemes. 	Retain minimum of 7 years after action completed or fulfilment of terms and conditions, then destroy
1.2.2	Records relating to routine administration of funding and subsidy schemes. Includes unsuccessful funding and grant applications and the administration of cashback schemes.	Retain minimum of 2 years after action completed, then destroy
1.2.3	Records relating to the management of school transport services. Includes correspondence with schools, local councils, parent/guardians, other	Retain minimum of 7 years after action completed, then

Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

No.	Description of records	Disposal action
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TRANSPORT NETWORK OPERATIONS- Network monitoring

	agencies and operators.	destroy
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1.3.0 Network monitoring

The activity of checking, observing, monitoring and managing network services over a period of time to identify trends, ensure quality standards, to monitor daily incidents and traffic flows on the network and provide real-time feedback to customers based on collected data. Includes the management of and transport usage information.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Reporting** for records relating to reporting on network operations.

See General Retention and Disposal Authority *Administrative records* **Strategic management** for records relating to reporting on the performance of the organisation in meeting corporate goals, objectives and performance indicators.

See General Retention and Disposal Authority *Video/visual surveillance records* for records relating to camera surveillance footage

1.3.1	Final reports of research into, surveys or studies of transport usage and services conducted or commissioned by the organisation.	Required as State archives
1.3.2	Transport usage data.	Retain until no longer required for operational monitoring, planning or research purposes, then destroy
1.3.3	Records supporting the monitoring of transport operations across networks and waterways. Includes logs, reports, journals, diaries, running sheets, etc., relating to daily activities, operations and incidents.	Retain minimum of 7 years after action completed, then destroy
1.3.4	Records relating to the routine operational control of daily activities, operations and movements on transport networks. Records include track possession authorities, train control diagrams/graphs, block sheets, security arrangements, etc.	Retain minimum of 1 year after action completed, then destroy

1.4.0 Ticketing and Fares

The activities associated with managing travel reservations and various forms of payment to use the transport network, including rail, buses, ferries, light rail.

See General Retention and Disposal Authority *Administrative records* **FINANCIAL MANAGEMENT - Accounting** for financial records relating to payment for travel.

See General Retention and Disposal Authority *Administrative records* **INFORMATION MANAGEMENT - Agreements** for agreements in relation to data exchange with third parties.

Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

No.	Description of records	Disposal action
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TRANSPORT NETWORK OPERATIONS- Ticketing and Fares

See General Retention and Disposal Authority *Administrative records* **TECHNOLOGY & TELECOMMUNICATIONS - Application development and management** for systems data, audit trails and temporary data created by web applications.

1.4.1	<p>Records relating to the application for, issue, cancellation or termination of travel passes and special, subsidised or concession fare products. Includes:</p> <ul style="list-style-type: none"> • updating, replacement or re-issuing of travel passes, cards and fare products. • validation and approval of entitlements for the purpose of issuing travel passes and subsidised or concession fare products. <p>Includes records documenting approval or consent of customer to conduct validation against third party data.</p>	<p>Retain minimum of 2 years after travel pass, concession fare product or subsidy entitlement is terminated or cancelled, then destroy</p>
1.4.2	<p>Copy records supplied by customer in order to validate identity and support claims for concessional or subsidised travel.</p>	<p>Retain until no longer required for purposes of validation and issue of card or pass or for purposes of ongoing validation of entitlement to concession or subsidised fare product, then destroy</p>
1.4.3	<p>Customer and non-customer data collected from third party sources for the purpose of validating applications for travel passes, cards or fare products.</p>	<p>Retain until administrative or reference use ceases, then destroy</p>
1.4.4	<p>Records relating to unsuccessful applications for the issue of travel passes, cards or fare products.</p>	<p>Retain minimum of 12 months after action completed, then destroy</p>
1.4.5	<p>Data documenting individual journeys undertaken by passengers on transport networks. Includes data captured using automated card readers and near field communication technology for fare compliance and determination of travel costs and entitlements, including discounted costs and free journeys.</p>	<p>Retain minimum of 2 years after date of journey, then destroy</p>
1.4.6	<p>Data documenting individual journeys made using travel passes on transport networks where</p>	<p>Retain minimum of 7 years after action</p>

Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

No.	Description of records	Disposal action
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TRANSPORT NETWORK OPERATIONS- Waterways

	infringement notices are issued or further investigation is undertaken into validity of travel pass. Includes data captured using near field communication technology for fare compliance.	completed, then destroy
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1.5.0 Waterways

The activities associated with establishing policy frameworks and plans of management for waterways.

See Functional Retention and Disposal Authority *Transport Infrastructure Infrastructure planning and investment* for records relating to assessing and commenting on applications for foreshore development on or near NSW Maritime land

1.5.1	Records documenting the management of waterways. Includes: <ul style="list-style-type: none"> • notifying the public of events, activities or changes which may impact on navigation • assessing and providing advice on the impact of boating activities • management and reporting on cleaning, waste removal and dredging operations. 	Retain minimum of 10 years after action completed, then destroy
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Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

No.	Description of records	Disposal action
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TRANSPORT SAFETY AND REGULATION- Accreditation

2.0.0 TRANSPORT SAFETY AND REGULATION

The function of managing safety and regulatory services across transport systems and networks.

See Functional Retention and Disposal Authority *Transport Infrastructure* **STANDARDS AND MATERIALS** for records relating to policies, procedures, standards, and guidelines developed for transport assets and modes.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Public reaction** for records relating to complaints or suggestions about the organisation's policies or services.

See General Retention and Disposal Authority *Administrative records* **COMMITTEES** for records relating to committees, task forces and working groups responsible for licensing, registration and road user and vehicle compliance.

See General Retention and Disposal Authority *Administrative records* **Community relations - Enquiries** for records relating to the handling of routine enquiries concerning licences from members of the public on issues such as applications, testing, renewals etc.

See General Retention and Disposal Authority *Administrative records* **Financial management** for records relating to payments and receipts generated during licensing processes.

See General Retention and Disposal Authority *Higher and further education* for records relating to industry training.

2.1.0 Accreditation

The activities associated with accrediting and licensing operators, organisations or individuals. Includes accreditation schemes and the management of those schemes in areas such as heavy vehicles, authorised service providers.

2.1.1	<p>Records relating to the development and operation of both voluntary and compulsory freight and access schemes relating to transport safety and regulation. Records include:</p> <ul style="list-style-type: none"> • details of approved and excluded areas/routes and vehicle eligibility/limits • identification and distribution of dates that scheme will be in operation. • identification of specific requirements • requirements to hold special permits or paperwork as evidence of participation. • participation of third parties such as local government authorities or participating grain receivers in scheme • data collected from third parties for the purpose of monitoring and reporting on scheme. 	Retain minimum of 7 years after expiration of and evaluation of scheme, then destroy
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Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

No.	Description of records	Disposal action
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TRANSPORT SAFETY AND REGULATION- Accreditation

2.1.2	<p>Records relating to the authorisation/accreditation of vehicle owners/operators/inspectors. Includes successful applications and the granting, renewal, cancellation, termination, suspension, amendment to an accreditation, appeals and audits and investigations into breaches of compliance.¹</p> <p>Includes authorisation/accreditation of:</p> <ul style="list-style-type: none"> • heavy vehicle owners/operators applicants in voluntary and compulsory freight and access schemes • authorisation for boats, private inquiry agents, mobility parking, security industry and proof of identity cards • accredited agents who provide boating services to customers on behalf of NSW Maritime • vehicle dealers authorised to certify roadworthiness of new vehicles and check customer's proof of identity • owners/operators of passenger transport vehicles such as railways, buses, ferries, 4WD and motorcycle tours, etc. • accreditation to inspect and measure heavy vehicles • vehicle inspection stations and examiners • certification and licensing of individuals to inspect non-standard vehicles • safety accreditation certificates/certifications of competency for operators • authorisation of service providers of point to point services (e.g., taxis, rideshare and hire cars) • air licences for regulated and open routes, such as air charter services, inclusive tour charter and regular public transport (RPT) services. <p>Records include:</p> <ul style="list-style-type: none"> • application form and supporting documentation • approvals and waivers • accreditation document or exemption notice 	<p>Retain minimum of 10 years after action completed or expiry or termination of accreditation or authorisation, then destroy</p>
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¹ August 2022 coverage for tow truck driver and operator licences and certificates, including exemptions and upgrades removed. See FA430 Consumer protection.

Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

No.	Description of records	Disposal action
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TRANSPORT SAFETY AND REGULATION- Accreditation

	<ul style="list-style-type: none"> • correspondence with applicant • audit and investigation reports • notices to amend, vary, suspend or cancel • management of levies on trips undertaken by authorised service provider and taxi licensees. 	
2.1.3	Records relating to unsuccessful applications or submissions for authorisation, accreditation or certification of vehicle owners/operators/inspectors.	Retain minimum of 2 years after action completed, then destroy

2.2.0 Agreements

The activity of establishing, maintaining, reviewing and negotiating agreements supporting the provision of transport services. Includes agreements with governing transport bodies, access to the rail network, chartering and hiring agreements and agreements with ticket resellers.

See General Retention and Disposal Authority *Administrative records* **Contracting-out** for records relating to the hiring and use of consultants, contractors, vendors, suppliers, employees from external bureau services or the services of shared service providers.

See General Retention and Disposal Authority *Administrative records* **Equipment & stores - Agreements** for records relating to agreements for the supply of goods and stores that are not made via a contracting-out or tendering process.

See General Retention and Disposal Authority *Administrative records* **FLEET MANAGEMENT - Leasing-out** for records relating to leasing out of the organisations vehicles.

See General Retention and Disposal Authority *Administrative records* **PROPERTY MANAGEMENT - Leasing-out** for records relating to the leasing-out of property, facilities, land or open spaces owned or managed by the organisation and hiring out of property for filming etc

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Joint ventures** for records relating to agreements and joint ventures with government and non-government agencies regarding the running and operation of services.

See General Retention and Disposal Authority *Administrative records* **Tendering** for records relating to the invitation of applications for taxi licences by way of tendering.

2.2.1	Records relating to the negotiation, establishment, maintenance and review of agreements to support the provision of transport services. Includes agreements relating to: <ul style="list-style-type: none"> • the provision or coordination of safety management services • ticketing services • number plate concessions 	Retain minimum of 7 years after expiry or termination of agreement, then destroy
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Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

No.	Description of records	Disposal action
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TRANSPORT SAFETY AND REGULATION- Breach and infringement management

	<ul style="list-style-type: none"> • network access • the provision of maritime services such as boat code dealers, licence testing, marina dealers, vessel registration, etc. • bus charters and hiring • the use of data sets • parking. <p>Includes reviews of operators in accordance with agreements.</p> <p>Note: Statutory limitation periods for commencing a claim or action for breach of a contract or agreement may vary depending on the type of agreement or contract. For example longer time periods apply to deeds, specialty contracts and certain interstate agreements. Where longer limitation periods do apply these need to be taken into account when assessing requirements for retention beyond the minimum period specified.</p>	
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2.3.0 Breach and infringement management

The activities associated with the investigation and management of breaches and infringements.

See General Retention and Disposal Authority *Administrative records* **LEGAL SERVICES - Litigation** for records relating to managing legal proceedings between the organisation and other parties in a court or other tribunal.

See **TRANSPORT SAFETY AND REGULATION - Licensing and permits** for summary details of licence holders' breach, fine and demerit point history.

2.3.1	<p>Records relating to the management of breaches and infringements of transport legislation, regulations, rules, etc., by passengers, vehicle/vessel owners and operators (including heavy vehicle, wharf operators, etc.) Includes breaches and infringements relating to non-payment of tolls and fare evasion, safety, behavioural, property and other compliance offences and the removal of offenders, environmental offences, improper use of mobility parking authorisations, etc.</p> <p>Records include:</p> <ul style="list-style-type: none"> • penalty, breach, prevention, improvement, infringement, show cause, clean up, defect, cancellation and suspension notices, directions and reports • records of inspections, summons, seizures, journey data, images, field officers' or inspectors' note books and other information 	<p>Retain minimum of 7 years after action completed, then destroy</p>
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Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

No.	Description of records	Disposal action
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TRANSPORT SAFETY AND REGULATION- Compliance and monitoring

	<p style="text-align: center;">used to document breaches and infringements</p> <ul style="list-style-type: none"> • representations relating to breaches or infringements. 	
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2.4.0 Compliance and monitoring

The activities associated with monitoring access to and the use of road networks by vehicle owners and operators and enforcing compliance with legislation, regulations, rules, charges, etc. Includes complying with standards or requirements relating to the development, running and operation of transport services.

2.4.1	Records relating to investigations into fraudulent licence activity, such as obtaining licences under a stolen identity or bribing a driving instructor.	Retain minimum of 25 years after action completed, then destroy
2.4.2	Records relating to: <ul style="list-style-type: none"> • monitoring compliance with transport programs. e.g. rail network and oversize and heavy vehicle road access and monitoring programs, and • liaison with and the provision of advice and assistance to industry organisations and stakeholders to assist industries transition to changes in regulatory requirements. 	Retain minimum of 7 years after action completed, then destroy
2.4.3	Raw data and images captured by roadside equipment. Includes: <ul style="list-style-type: none"> • bus lane and transit way cameras • heavy vehicles fatigue and speed detector cameras • detection cameras, such as fixed speed cameras, load weight cameras • vehicle emission detection cameras • signalling and control technology. 	Retain minimum of 20 days after date of capture, then destroy
2.4.4	Records relating to image processing and verification process against licence plate identification data and to the processing and validation of data captured by driverless technology. Includes quality assurance process, reports on validation.	Retain minimum of 7 years after validation process is complete, then destroy

2.5.0 Fees and Charges

Activities associated with preparing submissions by the organisation to external regulatory bodies, or other government agencies in relation to the setting of fares & charges. Includes activities relating to the assessment and determination of licence fees, fares and other charges. Also includes requests from operators, recommendations,

Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

No.	Description of records	Disposal action
-----	------------------------	-----------------

TRANSPORT SAFETY AND REGULATION- Fees and Charges

approvals etc. The provision of integrated ticketing arrangements for transport services and regulating the types of tickets and other ticketing arrangements for the setting of fares for transport services.

See **TRANSPORT NETWORK PLANNING - Research** for records relating to the research that contributes towards assessing the cost of public transport.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Submissions** for records relating to submissions to external regulatory bodies about the setting of fees and charges.

2.5.1	Records relating to the development of fee structures for regulatory services, licences, etc. Includes analysis, consultation, decisions, submissions, etc.	Retain minimum of 7 years after fees revised, then destroy
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2.6.0 Incident management

The activity of dealing with incidents causing, or with the potential to cause, death, injury or damage to persons, property or the environment, disruption to the transport networks, or otherwise affecting the organisation's operations. Includes the notification, investigation and reporting of incidents.

See General Retention and Disposal Authority *Administrative records* **Compensation - Claims** for records relating to compensation matters following an incident.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Reporting** for records relating to reporting on incidents and investigations to the Minister or other government bodies.

See General Retention and Disposal Authority *Administrative records* **Legal services - Litigation** for records relating to litigation matters following incidents.

See General Retention and Disposal Authority *Administrative records* **Occupational health & safety - Accidents** for records relating to accidents involving members of the public whilst on the organisation's premises, as well as any accident or incident involving employees.

See General Retention and Disposal Authority *Administrative records* **Strategic management - Risk management** for records relating to the identification and management of risks.

2.6.1	Records relating to incidents that cause death, serious injury or extensive damage to property, have the potential to cause long term impacts on the environment, a significant impact on the community, and/or result in major disruptions to operations and services. Records include: <ul style="list-style-type: none"> • incident notifications, logs and reports • records of investigations (e.g. checklists, inspection notes, consultation documents, comments, drafts and final reports) 	Required as State archives
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Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

No.	Description of records	Disposal action
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TRANSPORT SAFETY AND REGULATION- Incident management

	<ul style="list-style-type: none"> • the coordination of emergency response activities • data and images captured by roadside equipment or driverless technology. 	
2.6.2	<p>Records relating to incidents that do not cause death, serious injury or extensive damage to property, do not have a significant impact on the community or do not result in major disruptions to operations and services. Includes incidents that have short-term environmental impacts. Records include:</p> <ul style="list-style-type: none"> • incident notifications and logs • reports (e.g. transport security incident reports, bus inquiry reports, etc.) • records of investigations (e.g. checklists, inspection notes, consultation documents, comments, drafts and final reports) • the coordination of emergency response activities and clean up operations • traffic management (e.g. traffic diversions). • routine or minor administrative matters associated with the incidents • diaries, occurrence or log books relating to response operations and investigations. • data and images captured by roadside equipment or driverless technology. 	Retain minimum of 15 years after action completed, then destroy

2.7.0 Industry training

See General Retention and Disposal Authority *Administrative records* **PERSONNEL - Employee service history** for records documenting an individual's training history such as qualifications, certificates of competency, statements of attainment, etc., required by employees as part of employment conditions or to perform their duties.

See General Retention and Disposal Authority *Administrative records* **STAFF DEVELOPMENT - Training** for records relating to general training provided by the organisation.

2.7.1	Final versions of training program resources and final reports of research and analysis supporting the provision of training and assessment programs.	Required as State archives
2.7.2	Records documenting student/trainee results, qualifications or competencies attained for courses that lead to a recognised qualification or competency. Includes details of completed units and results, levels of attainment, competency or qualification	Retain minimum of 30 years after action completed, then destroy

Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

No.	Description of records	Disposal action
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TRANSPORT SAFETY AND REGULATION- Industry training

	assignments, recognition of prior learning.	
2.7.3	Records relating to the development, management and administration of transport sector specific training programs. Includes consultation and liaison with registration bodies regarding curriculum development, compliance, etc.	Retain minimum of 10 years after action completed, then destroy

2.8.0 Licensing and permits

The activities associated with the provision of official and legal permission to drive and operate vehicles, including motor cycles, and heavy vehicles, general boat licences and personal watercraft. Also includes the issue of licences and permits for specific purposes such as mobility parking scheme.

See General Retention and Disposal Authority *Administrative records* **INFORMATION MANAGEMENT - Cases** for records relating to the handling of requests for discretionary access to driver licensing, accreditation or vehicle registration, including requests for images and data related to facial recognition and requests to provide evidence as to the veracity of images and data in court related matters.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Compliance** for records relating to allegations of misconduct against licensed operators such as driving instructors.

2.8.1	Summary details and licence/permit transaction history for: <ul style="list-style-type: none"> • driver licensing, including name, date of birth, licence number, medical conditions, summary of fines and demerits, driving history and photo images • licensing for boats, private inquiry agents, mobility parking, security industry and proof of identity cards • heavy vehicle drivers and operators • aquatic licences for use of waterways for organised activities • driving instructors, including approvals for driving instructors.² 	Retain minimum of 100 years after date of birth of licence or permit holder, then destroy
2.8.2	Records relating to authorisations to amend transactions and data in the organisation's databases and registers (e.g. changes to personal details). Includes notices received from agency inspectors and agencies responsible for enforcement actions and fines collection, such as the NSW Police and the State Debt	Retain minimum of 10 years after last action, then destroy

² August 2022 coverage for tow truck drivers and operators removed. See FA430 Consumer protection.

Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

No.	Description of records	Disposal action
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TRANSPORT SAFETY AND REGULATION- Licensing and permits

	Recovery Office. Records include: <ul style="list-style-type: none"> • notifications or advices • authorising forms • amendment sheets • data fixes. 	
2.8.3	Records relating to the management of applications, renewals and replacements for licences and permits. Includes cancellation or suspension, appeals, and the handling of complaints. Includes: <ul style="list-style-type: none"> • driving and operating licences for vehicles, motorcycles, cars and heavy vehicles, vessels, watercraft, taxis and buses • applications and renewals for road access permits for over mass and oversize vehicles • licences for the security industry, commercial agents and private inquiry agents • mobility parking permits • recreational fishing licences • marine licences and permits relating to the environmental management function (e.g. trade waste permit, sewer discharge permit) • commercial or recreational mooring licence • driver instructor licences • car dealer staff for authorisation to certify the roadworthiness of new vehicles and check the customer's proof of identity • aquatic licences to control the effect of a race, display, exhibition, regatta, etc. • coastal bar crossing • hire and drive activities for vessels. Records include: <ul style="list-style-type: none"> • applications and supporting documentation including police checks • applications and approval of an exemption of dimension requirements • results of competency testing or outcomes • completed election/acknowledgement of good behaviour form • correspondence relating to licences including replacement, loss, seizure, surrender or 	Retain minimum of 7 years after action completed or until expiry or termination of permit, whichever is longer, then destroy

Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

No.	Description of records	Disposal action
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TRANSPORT SAFETY AND REGULATION- Licensing and permits

	cancellation of card or licence <ul style="list-style-type: none"> • driver log books • medical reports • advice letters from Police. 	
2.8.4	Records relating to routine operational management of the licensing system. Includes: <ul style="list-style-type: none"> • incomplete or unsuccessful applications for licences, licence exemptions and upgrades • test and answer sheets for competency tests • notification that a licence has been stolen, lost or misplaced • reporting of allegedly unsafe drivers from the public, medical practitioners, etc. 	Retain minimum of 2 years after last action, then destroy
2.8.5	Records relating to the development of licence tests and seminars for persons applying for any licence class. Records include: <ul style="list-style-type: none"> • drafts and background research • correspondence with other licensing bodies on recognising licences obtained from other jurisdictions. <p>See TRANSPORT SAFETY AND REGULATION - Standards for master sets of publications, guidelines, manuals, handbooks, etc., documenting rules, regulations, licensing, accreditation, authorisation and registration requirements.</p>	Retain minimum of 5 years after superseded, then destroy
2.8.6	Records relating to investigations of roads to determine their suitability to be used by over mass and oversize vehicles. Records include: <ul style="list-style-type: none"> • route maps • reports identifying position of utilities and infrastructure such as bridges, etc. • reports on road surface conditions. 	Retain minimum of 4 years after action completed, then destroy

2.9.0 Registration

The activities associated with registering the ownership and roadworthiness of vessels, vehicles, trailers and caravans to ensure their compliance with relevant legislation and standards.

See General Retention and Disposal Authority *Administrative records* **INFORMATION MANAGEMENT - Cases** for records relating to requests for registration information.

Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

No.	Description of records	Disposal action
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TRANSPORT SAFETY AND REGULATION- Registration

2.9.1	<p>Records relating to vehicle and vessel registration, including the cancellation, suspension and reinstatement of classes of registrations and third party insurance. Includes applications for exemptions from registration or other variations to or exemptions from standard procedures, stamp duty, taxes and charges, etc.</p> <p>Records include:</p> <ul style="list-style-type: none"> • applications and renewals • proof of identity documentation • vehicle acquisition documents • vehicle inspection reports • roadworthiness documentation • evidence of repairs • third party insurance documents • evidence of eligibility for registration concessions • certificates of compliance for vehicle modifications • description of heavy vehicle configuration • change of details forms • copies of weighbridge ticket • cancellation, suspension and reinstatement notices associated correspondence • existing repairable interstate written-off vehicles may be registered without authorisation to repair • defect notices • appeals against decisions. 	Retain minimum of 10 years after action completed, then destroy
2.9.2	<p>Records relating to the management of applications for vehicle number plates. Records include:</p> <ul style="list-style-type: none"> • applications • copies of proof of identity • statutory declarations • documentation relating to the return of plates • supporting documentation • correspondence. 	Retain minimum of 7 years after action completed, then destroy
2.9.3	<p>Records relating to the design of vehicle number plates series, including commemorative plates, which are</p>	Required as State archives

Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

No.	Description of records	Disposal action
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TRANSPORT SAFETY AND REGULATION- Registration

	approved.	
2.9.4	Records relating to the design of number plate series which do not proceed.	Retain minimum of 5 years after action completed, then destroy
2.9.5	Records relating to routine management of registration. Includes the management of: <ul style="list-style-type: none"> • surrendered interstate number plates • confiscated number plates • concession claims by ex-servicemen and pensioners for registration, transfers, driving tests, log books, etc. 	Retain minimum of 1 year after action completed, then destroy

2.10.0 Safety programs

The activities associated with safety programs and schemes designed to promote safety on the transport network. Includes campaigns to protect the environment.

See General Retention and Disposal Authority *Administrative records* **TENDERING** for records relating to tendering for services to develop programs.

See General Retention and Disposal Authority *Administrative records* **PERSONNEL - Misconduct or Reporting** for records relating to allegations of misconduct against school crossing supervisors.

2.10.1	Records relating to the development and review of transport safety programs and strategies. Records include: <ul style="list-style-type: none"> • campaign plans and reports • resources developed • correspondence and consultation • final programs • reports. 	Required as State archives
2.10.2	Records relating to the operational management of safety programs. Includes development of training material, management of applications for school crossing supervisor schemes, requests for school zone variations, etc.	Retain minimum of 7 years after action completed, then destroy

2.11.0 Standards

The activities associated with development and monitoring of regulations and standards for transport operators, waterways, vehicles etc.

Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

No.	Description of records	Disposal action
<i>TRANSPORT SAFETY AND REGULATION- Standards</i>		
2.11.1	Records relating to the development and approval of transport safety standards, specifications, codes, manuals and guidelines. Includes the development of industry standards by the organisation.	Required as State archives
2.11.2	Master set of publications, guidelines, manuals, handbooks and instructions in any format that are issued to document rules, regulations and licensing, accreditation, authorisation and registration requirements that relate to the use of vehicles and vessels. Records include: <ul style="list-style-type: none"> • information provided on industry portals or other websites • road and waterways rule books and tests • digital learner software • driver knowledge and qualification tests • handbooks. 	Required as State archives
2.11.3	Records relating to the development of publications, guidelines, manuals, handbooks and instructions in any format that are issued to document rules, regulations and licensing, accreditation and authorisation. Records include drafts and background research.	Retain minimum of 7 years after action completed, then destroy
2.11.4	Records relating to the implementation of practices within the organisation in accordance with industry and organisational standards. Records include procedures, standards or regulations and significantly altered drafts of standards for: <ul style="list-style-type: none"> • crew and passenger safety briefings • the monitoring of rail signalling procedures and all related safety incidents. 	Retain minimum of 10 years after superseded, then destroy
2.11.5	Records relating to serious breaches and failures by a transport agency to meet compliance requirements and standards. Includes monitoring and investigating of adherence to benchmarked standards (e.g. by the Asset Standards Authority). Records include failure to monitor safety of active rail bridges.	Required as State archives
2.11.6	Records relating to minor breaches and failures by a transport agency to meet industry-specific compliance requirements. Records include breaches of licensing requirements and industry standards. Also includes breaches of industry-specific training requirements such as records of consultation with registration bodies and notifications of sanctions imposed as a result of non-compliance.	Retain minimum of 7 years after expiry, suspension or cancellation of registration, then destroy

Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

No.	Description of records	Disposal action
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TRANSPORT SAFETY AND REGULATION- Standards

3.0.0 TRANSPORT NETWORK PLANNING

The function of developing strategies, plans and precedents, which act as a reference for future decision-making. Includes the development and improvement of services on the transport network. Includes network planning for service delivery and integrated planning around infrastructure delivery and future transport initiatives to enable integrated transport plans and services.

3.1.0 Strategic transport planning

See **TRANSPORT NETWORK PLANNING - Evaluation and review** for records relating to the review of timetables and schedules.

See **TRANSPORT NETWORK OPERATIONS - Network monitoring** for records relating to real-time information relating to traffic and transport services.

See Functional Retention and Disposal Authority *Transport Infrastructure* **Infrastructure planning and investment - Strategic transport planning** for developing or upgrading transport infrastructure, assets and fleet.

See Functional Retention and Disposal Authority *Transport Infrastructure* for road network analysis in relation to major projects, such as WestConnex and Western Harbour Tunnel, as well as a number of other projects to predict the traffic, design, environment, financial and economic impacts of their work.

See Functional Retention and Disposal Authority *Transport Infrastructure* **Infrastructure construction** for records relating to construction of smart motorways or the upgrade of existing roads to smart motorways,

See Functional Retention and Disposal Authority *Transport Infrastructure* **Infrastructure planning and investment** for records relating to the planning for the implementation of smart motorways

3.1.1	<p>Records documenting the development of or progressive reporting against regulatory reforms and high level strategies, plans and policies for transport networks and waterways management and transport safety, security and regulations. Records include:</p> <ul style="list-style-type: none"> • discussion papers and submissions • summaries of community and stakeholder consultation • studies and modelling relating to impact, usage, etc., • final versions of approved documents • progress reporting on the strategy, plan or policy implementation. 	Required as State archives
3.1.2	<p>Research, analysis, forecasts, routine modelling and operational planning, evaluation and reviews supporting the development and implementation of high level plans and strategies. Includes development</p>	Retain minimum of 7 years after action completed, then destroy

Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

No.	Description of records	Disposal action
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TRANSPORT SAFETY AND REGULATION- Standards

	and review of operational plans, policies and procedures for the management of transport services, safety, regulation and enforcement processes, initiatives or programs, etc.	
3.1.3	Records relating to the planning and management of events, e.g. the Olympics, World Youth Day Mass, Boxing Day, the Royal Easter Show, sporting events, etc. Includes liaison and meeting minutes with stakeholders and administrative arrangements for organising the event such as operating plans, special ticketing, internal and external debriefings and event evaluation reports. Includes records relating to the establishment and operation of a special event parking scheme. Also includes safety planning and coordination for events.	Retain minimum of 5 years after action completed, then destroy
3.1.4	Records relating to the provision of advice on planning instruments from other agencies where a detailed response is provided.	Retain minimum of 7 years after action completed, then destroy
3.1.5	Records relating to requests for comment on planning instruments from other agencies that are referred elsewhere or where no comments are provided.	Retain minimum of 2 years after action completed, then destroy

3.2.0 Timetables and scheduling

The activity of publishing and implementing timetables of public transport services.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Submissions** for records relating to submissions to the Minister or other government organisation on the network.

See General Retention and Disposal Authority *Administrative records* **Personnel** for records relating to assigning individual personnel to schedules and other tasks and services.

3.2.1	Records documenting the history and review of public transport routes, service areas, networks and timetables. Includes origins, route start dates, route and timetable revisions and amendments, modifications and cancellations, master copies of standard and temporary working timetables, special train notices (STNs) and alterations. Includes annotations and page replacements, patronage analysis reports, route cost and profitability analysis, records of consultation with and feedback from stakeholders as part of a network review, reports or recommendations arising from reviews. Includes final versions of timetables/schedules.	Required as State archives
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Transport strategic planning, network operations, safety and regulation

Authority number: FA403

Dates of coverage: Open

No.	Description of records	Disposal action
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TRANSPORT SAFETY AND REGULATION- Standards

3.2.2	Records relating to the planning, developing, modifying and amendment of public transport schedules and timetables. Records include calculations, notes, and testing associated with timetable development, draft versions of timetables/schedules and records held in scheduling and rostering databases.	Retain minimum of 7 years after action completed, then destroy
3.2.3	Records relating to the implementation of timetables. Includes coordination of distribution and notifications.	Retain minimum of 2 years after action completed, then destroy

3.3.0 Reporting

See **TRANSPORT NETWORK PLANNING - Strategic transport planning** for reporting against strategic plans, etc.

3.3.1	Formal internal reports and reports to external bodies relating to significant transport projects and services, findings or recommendations from original research projects, performance evaluations or reviews of programs and services.	Required as State archives
3.3.2	Records relating to final versions of reports to senior management and routine ongoing reports made to external bodies relating to transport projects and services. Includes reports on waste and emissions, energy management and environmental performance.	Retain minimum of 10 years after action completed, then destroy