

State Records Authority of New South Wales

Functional Retention and Disposal Authority: FA382

This authority covers records documenting the function of planning, construction and maintenance of transport infrastructure

This functional 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 Records Authority of New South Wales in accordance with section 21(3) of the Act.

State Records Authority of New South Wales

Functional Retention and Disposal Authority

Authority no FA382

SR file no 16/0502

Scope

This functional retention and disposal authority covers records documenting the function of planning, construction and maintenance of transport infrastructure.

Public office

Transport for NSW

Approval date

Geoff Hinchcliffe
Director
State Records Authority of New South Wales

14/10/2016
Date

About the Functional Retention and Disposal Authority

Purpose of the authority

The purpose of this functional 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 State Records 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 Records does not disapprove. Advice on the State Records Act can be obtained from State Records.

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. The State Records Authority ('State Records') 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 Records any information which affects the retention of the records covered by the authority.

State Records' 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 Records' 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 Records and of public offices in undertaking appraisal processes and disposal activities.

Implementing the authority

This functional 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. Advice on sentencing can be obtained from State Records. 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 also 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 Records 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 Records regarding the management of State archives.

Transferring records identified as State archives and no longer in use for official purposes to State Records' control 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, and government directives. 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 Records 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 Records.

Administrative change

This functional 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 Records for approval. However, when functions move from one public office to another the public office that inherits the new function should contact State Records to discuss use of any existing retention and disposal authority approved for use by a predecessor organisation.

Amendment and review of this authority

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

State Records recommends a review of this authority after five years to establish whether its provisions are still appropriate. Either the public office or State Records may propose a review of the authority at any other time, particularly in the case of change of administrative arrangements or procedures 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 Records 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 Records
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Functional Retention and Disposal Authority
Planning, construction and maintenance of transport infrastructure (Transport for NSW)

Authority number: FA382

Dates of coverage: Open

List of Functions and Activities covered			
Function	Activity	Reference	Page
INFRASTRUCTURE PLANNING AND INVESTMENT		1.0.0	9
	Asset Strategy	1.1.0	9
	Development Controls	1.2.0	9
	Funding Assistance	1.3.0	11
	Investment Strategy	1.4.0	12
	Land Use Planning	1.5.0	13
	Project Development	1.6.0	14
	Road Declaration and Classification	1.7.0	17
	Strategic Transport Planning	1.8.0	17
	Transport Land & Property Management	1.9.0	18
INFRASTRUCTURE CONSTRUCTION		2.0.0	20
	Audit	2.1.0	20
	Community & Stakeholder Liaison	2.2.0	21
	Construction management	2.3.0	23
	Reviewing	2.4.0	25

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

List of Functions and Activities covered			
Function	Activity	Reference	Page
	Technical design	2.5.0	26
INFRASTRUCTURE ASSET MAINTENANCE		3.0.0	27
	Configuration Management	3.1.0	28
	Decommissioning and Disposal	3.2.0	28
	Maintenance planning and delivery	3.3.0	29
	Monitoring and inspections	3.4.0	32
	Transport Fleet Management	3.5.0	33
ENVIRONMENT AND HERITAGE MANAGEMENT		4.0.0	34
	Compliance Operations	4.1.0	34
	Engagement with Communities	4.2.0	35
	Environmental management plans	4.3.0	36
	Heritage interpretation	4.4.0	37
	Pollution management programs	4.5.0	37
PROCUREMENT AND CONTRACT MANAGEMENT		5.0.0	38
	Contract Management	5.1.0	38
INFRASTRUCTURE ASSET SECURITY		6.0.0	39

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

List of Functions and Activities covered

Function	Activity	Reference	Page
	Security planning	6.1.0	39
STANDARDS AND MATERIALS		7.0.0	40
	Concessions and wavers	7.1.0	40
	Laboratory services	7.2.0	40
	Policies, procedures, standards and guidelines	7.3.0	41
	Technical investigations	7.4.0	41

Functional Retention and Disposal Authority
Planning, construction and maintenance of transport infrastructure (Transport for NSW)

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
1.0.0	INFRASTRUCTURE PLANNING AND INVESTMENT	The function of developing high level strategies and plans for the development or upgrading of infrastructure assets.	
1.1.0	Asset Strategy	<p>The activity of developing strategic frameworks and asset management plans for maintaining and monitoring the lifecycle, condition and performance of infrastructure, assets and fleet.</p> <p>See INFRASTRUCTURE PLANNING AND INVESTMENT - Strategic Transport Planning for records relating to strategic planning for development and upgrade of transport infrastructure.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> FINANCIAL MANAGEMENT - Planning for records relating to Total Asset Management Plans which determine funding for maintenance delivery.</p>	
1.1.1		Records documenting the development of strategic frameworks and asset management plans for maintaining and monitoring the lifecycle, condition and performance of infrastructure assets and fleet.	Retain minimum of 20 years after action completed, then destroy
1.2.0	Development Controls	<p>The activity of approving or commenting on planning and development applications and consents.</p> <p>See INFRASTRUCTURE CONSTRUCTION for development applications for projects where the organisation is the developer.</p> <p>See INFRASTRUCTURE PLANNING AND INVESTMENT - Land Use Planning for records documenting the provision of advice/submissions to external agencies regarding land use planning referrals (planning instruments) and liaison/contribution to projects led by external planning / urban growth / land development agencies.</p>	

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE PLANNING AND INVESTMENT - Development Controls</i>			
1.2.1		Records relating to the assessment and approval of development applications where the organisation is the consent authority. Includes records of the application and associated required supporting information or documentation, confirmation, advice or conditions relating to the approval, appeals against decisions and their outcomes.	Required as State archives
1.2.2		Records relating to development applications referred to the organisation for advice or comment or where the organisation's consent, as owner of the land or waterway, is required. Includes integrated approvals forwarded by other consent agencies.	Retain minimum of 10 years after action completed, then destroy
1.2.3		Records relating to the issue of certificates associated with a development or building process. Includes certificates that are issued or required as part of approval process and certificates that are issued separately to the development application process, e.g. certificates requested by prospective purchasers. Includes copies of certificates issued, correspondence, appeals, maps, plans etc.	Retain minimum of 10 years after action completed, then destroy
1.2.4		<p>Records documenting the organisation's oversight of building and construction works by private developers where the development or works:</p> <ul style="list-style-type: none"> • require the organisation's approval • involve works within or adjacent to transport corridors or infrastructure • require design and construction of infrastructure which will be handed over to the organisation for ongoing management. <p>Records include:</p> <ul style="list-style-type: none"> • contracts or agreements with the developer eg. Works Authorisation Deed • defects notices, reports and photographs • inspection and surveillance notes, reports and photographs 	Retain minimum of 12 years after action completed, then destroy

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE PLANNING AND INVESTMENT - Development Controls</i>			
		<ul style="list-style-type: none"> • project management plans, staging plans, time management reports and gantt charts • ongoing liaison and correspondence regarding defects, inspections and quality assurance matters. 	
1.2.5		<p>Records documenting the technical design of building and construction works by private developers where the infrastructure will be handed over to the organisation for ongoing management. Records include:</p> <ul style="list-style-type: none"> • designs and design reports • design reviews and specifications • design management plans • design drawings, including approved for construction and final work as executed drawings. 	Required as State archives
1.2.6		Records relating to lapsed or refused applications for the development, use or subdivision of land and waterways and related building and construction works.	Retain minimum of 7 years after action completed, then destroy
1.2.7		Summary records documenting the receipt, determination and status of development related applications e.g. registers of development applications, land owners consent, construction approvals etc.	Retain until administrative or reference use ceases, then destroy
1.3.0	Funding Assistance	The activity of providing financial assistance to external organisations through program/project/grant or subsidy schemes to support infrastructure construction, renewal or rehabilitation.	

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE PLANNING AND INVESTMENT - Funding Assistance</i>			
		See General Retention and Disposal Authority <i>Administrative records COMMITTEES</i> for records relating to committees responsible for prioritising or assessing applications for funding assistance.	
1.3.1		Records relating to successful applications for funding assistance by external organisations to develop, renew or maintain transport infrastructure or to support transport safety or compliance initiatives, e.g. schemes to assist local councils maintain roads, natural disaster grants, road safety initiatives, heavy vehicle compliance, street lighting subsidy scheme etc. Includes records of funding agreements and records documenting compliance with agreements such as periodic reports on expenditure, financial and audit related certificates, progress or completion reports.	Retain minimum of 7 years after expiry or termination of agreement, then destroy
1.3.2		Records documenting unsuccessful applications by external organisations for funding assistance.	Retain minimum of 2 years after action completed, then destroy
1.3.3		Records documenting the development or review of funding formulas or criteria, including research, modelling, and consultation with stakeholders.	Retain minimum of 7 years after action completed, then destroy
1.4.0	Investment Strategy	The activity of prioritising and allocating capital expenditure funds and securing investment for infrastructure asset development, delivery and maintenance. See General Retention and Disposal Authority <i>Administrative records COMMITTEES</i> for records relating to committees responsible for allocating capital expenditure for infrastructure asset development, upgrade and maintenance.	
1.4.1		Records documenting the consideration and seeking of funding and investors for infrastructure asset development proposals. This includes records documenting:	Required as State archives

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

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<i>INFRASTRUCTURE PLANNING AND INVESTMENT - Investment Strategy</i>			
		<ul style="list-style-type: none"> • the assessment of infrastructure asset development proposals and funding and investment models from the private sector (solicited and unsolicited) • liaison and strategic cooperation and engagement with Commonwealth and State Government regarding funding and investment for infrastructure asset development proposals • the identification, sourcing and securing of capital funding from public and private sources to support investment in infrastructure assets • the promotion of infrastructure asset development and investment opportunities to industry stakeholders. 	
1.4.2		Records documenting reviews of transport investment business cases including cost, risk, and assurance reviews. Includes: <ul style="list-style-type: none"> • advice and liaison with project and program owners • assessment against criteria or standards • meeting documents. 	Retain minimum of 7 years after action completed, then destroy
1.5.0	Land Use Planning	The activity of providing advice on plans for future use of land. Includes providing advice/submissions to external agencies regarding land use planning referrals (planning instruments) and liaison/contribution to projects led by external planning / urban growth / land development agencies which require integration of land use and transport. See INFRASTRUCTURE PLANNING AND INVESTMENT - Transport Land & Property Management for records relating to acquisition and disposal of land and property resulting from land use planning initiatives.	
1.5.1		Planning instruments including national, state, regional and local planning policies, strategies and environment plans where the organisation has made significant input or major objections.	Required as State archives

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

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INFRASTRUCTURE PLANNING AND INVESTMENT - Land Use Planning

1.5.2		Planning instruments forwarded to the organisation for review and comment where minor or no input / objections are made.	Retain minimum of 5 years after action completed, then destroy
1.5.3		Records documenting the organisation's involvement in land use planning and projects requiring input from relevant State agencies as part of overall planning, where the organisation is not the lead agency. For example, state, regional, urban growth or precinct development projects which require integrated transport and infrastructure planning as part of the planning process.	Retain minimum of 10 years after action completed, then destroy
1.6.0	Project Development	<p>The activity of developing projects to acquire, construct or upgrade existing infrastructure assets, including discontinued projects. Includes the acquisition of transport fleet and rolling stock (trains, light rail, buses, ferries, wagons, locomotives, etc.)</p> <p>See PROCUREMENT AND CONTRACT MANAGEMENT for records relating to the management of contracts, etc., for key or significant infrastructure development and delivery projects.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMITTEES for records relating to committees responsible for approving transport project funding.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Addresses for records relating to presentations to the community.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> LEGAL SERVICES - Litigation for records relating to management of disputes with contractors or consultants which results in litigation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> TENDERING for records relating to procurement and management of contracts that are not</p>	

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

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INFRASTRUCTURE PLANNING AND INVESTMENT - Project Development

		related to key or significant infrastructure projects, maintenance delivery or upgrades.	
1.6.1		<p>Records relating to acquiring, developing or upgrading infrastructure assets which are a major component of the transport infrastructure network (including projects which do not proceed). Includes records documenting:</p> <ul style="list-style-type: none"> • project initiation, investigation of feasibility and options • investigation of procurement / delivery models • development of business cases to secure funding • infrastructure asset project authorisations from the responsible person or body with delegated authority • concept design and configuration change management • project management planning, reporting and handover for project delivery. <p>Also includes associated:</p> <ul style="list-style-type: none"> • user analysis, feasibility and demand studies • liaison and engagement with community groups and local residents, affected by, or interested in, the project • environmental impact assessments, studies, reviews and reports • specialist heritage reports, such as heritage impact assessments and archaeological reports • development applications and approvals, and • contracts, agreements, memorandum of understanding or other instruments for services, funding, investment or support where these relate to major infrastructure asset development, upgrades and refreshes. 	Required as State archives

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE PLANNING AND INVESTMENT - Project Development</i>			
1.6.2		<p>Records relating to acquiring, developing or upgrading transport infrastructure assets which are a minor component of the transport infrastructure network. Includes records documenting:</p> <ul style="list-style-type: none"> • project initiation, investigation of feasibility and options • investigation of procurement / delivery models • development of business cases to secure funding • infrastructure asset project authorisations from the responsible person or body with delegated authority • concept design and configuration change management • project management planning, reporting and handover for project delivery. <p>Also includes associated:</p> <ul style="list-style-type: none"> • user analysis, feasibility and demand studies • liaison and engagement with community groups and local residents, affected by, or interested in, the project • environmental impact assessments, studies, reviews and reports • specialist heritage reports, such as heritage impact assessments and archaeological reports • development applications and approvals, and • contracts, agreements, memorandum of understanding or other instruments for services, funding, investment or support where these relate to major infrastructure asset development, upgrades and refreshes. 	Retain minimum of 12 years after project completed, then destroy
1.6.3		Records relating to projects for minor components of the transport network which are not proceeded with.	Retain minimum of 7 years after action completed, then destroy

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE PLANNING AND INVESTMENT - Road Declaration and Classification</i>			
1.7.0	Road Declaration and Classification	<p>The activity of managing the classification and designation of roads. Includes the transfer of ownership of or management responsibilities for road assets between road authorities.</p> <p>See INFRASTRUCTURE PLANNING AND INVESTMENT - Transport Land & Property Management for records relating to the acquisition of land for the purposes of developing or upgrading transport infrastructure assets.</p>	
1.7.1		Summary records of the declaration, naming, classification, change of status or discontinuation of roads and the transfer of ownership or responsibility for management of roads between road authorities.	Required as State archives
1.7.2		Records documenting the declaration and gazettal of roads. Includes the classification of the road, change of status or the discontinuation of the road.	Retain minimum of 7 years after gazettal, then destroy
1.7.3		<p>Records documenting the transfer of road management or ownership between road authorities. Includes:</p> <ul style="list-style-type: none"> • proposals, applications, submissions, objections and determinations regarding proposed transfers or road classification • reports, submissions and determinations regarding general classification reviews • meeting notes, plans, condition and defect reports, etc., relating to transfer, condition, operation or maintenance of transferred assets • transfer agreements or formal notification of transfers • dispute resolution. 	Retain minimum of 7 years after asset decommissioning or disposal, then destroy
1.8.0	Strategic Transport Planning	The activity of developing and reporting against high level strategies and plans for developing or upgrading transport infrastructure, assets and fleet.	

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE PLANNING AND INVESTMENT - Strategic Transport Planning</i>			
		See General Retention and Disposal Authority <i>Administrative records COMMITTEES</i> for records of records of formal transport planning advisory committees	
1.8.1		<p>Records documenting the development or progressive reporting against high level strategies and plans for developing or upgrading transport infrastructure, assets and fleet to accommodate future growth. Includes:</p> <ul style="list-style-type: none"> • transport master plans for the State • regional transport plans • modal and multi-modal plans • interchange strategies • access strategies for specific locations such as city centres. <p>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 • progress reporting on the plan. 	Required as State archives
1.9.0	Transport Land & Property Management	<p>The activity of acquiring, managing and disposing of land, property, or facilities for transport infrastructure purposes.</p> <p>Includes corridors, yards, interchanges, rest areas, maritime foreshore structures, facilities, commercial and residential properties, land, maritime wetland and dryland properties, waterways where the beds of ports and harbours have been vested to the organisation, and land leased or otherwise occupied or managed by the organisation for transport infrastructure purposes, including Crown land.</p>	

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE PLANNING AND INVESTMENT - Transport Land & Property Management</i>			
		<p>See INFRASTRUCTURE ASSET MAINTENANCE - Maintenance planning and delivery for records relating to routine and planned maintenance of land and property owned by the organisation for Transport infrastructure purposes.</p> <p>See INFRASTRUCTURE PLANNING AND INVESTMENT - Project Development for records relating to development of land and property where the organisation is the developer and for community liaison and engagement in relation to specific projects.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> PROPERTY MANAGEMENT for records relating to routine acquisition (not compulsory acquisition or resumption) and disposing of land and property.</p>	
1.9.1		Records relating to the resumption of land by compulsory acquisition to enable the construction or development of transport infrastructure. Includes records of notices and advice to land owners, information packages and plans exhibited as part of the resumption process, negotiations and dealings with land owners.	Required as State archives
1.9.2		Records documenting proposals and negotiations for the transfer or disposal of land and property which do not proceed.	Retain minimum of 10 years after action completed, then destroy
1.9.3		Records relating to enquiries from the community regarding land and property ownership, acquisition, boundary determinations, management and disposal.	Retain minimum of 10 years after action completed, then destroy
1.9.4		<p>Transport infrastructure land, property and hydrographic survey and charting plans. Includes:</p> <ul style="list-style-type: none"> • survey plans showing boundary determinations and details of properties in and around transport infrastructure assets and corridors, including planned unused transport corridors 	Required as State archives

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE PLANNING AND INVESTMENT - Transport Land & Property Management</i>			
		<ul style="list-style-type: none"> • maritime property and mean high water mark determinations • assessments surveys and determinations relating to hydrographic sounds that enable delivery of hydrographic survey plans • plans used to define maritime charting areas • survey field books and aerial survey images taken for strategic planning purposes. 	
1.9.5		Draft surveys and surveyor plots used to develop survey plans for geospatial mapping.	Retain until reference use ceases, then destroy
2.0.0	INFRASTRUCTURE CONSTRUCTION	<p>The function of constructing new infrastructure assets and capital works to upgrade existing infrastructure assets.</p> <p>See INFRASTRUCTURE PLANNING AND INVESTMENT - Development Controls for records relating to the oversight of building and construction works by private developers within or adjacent to transport corridors or infrastructure.</p> <p>See INFRASTRUCTURE PLANNING AND INVESTMENT - Project Development for records relating to acquisition of fleet and rolling stock.</p> <p>See INFRASTRUCTURE PLANNING AND INVESTMENT - Transport Land & Property Management for records relating to land and property acquisition and disposal for infrastructure projects / establishing transport corridors.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> STRATEGIC MANAGEMENT - Joint ventures for records relating to strategic alliances formed in the development and delivery of projects.</p>	
2.1.0	Audit	The activity of conducting audits to ensure compliance with standards, processes or procedures.	

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE CONSTRUCTION - Audit</i>			
		<p>See ENVIRONMENT AND HERITAGE MANAGEMENT - Compliance Operations for audits associated with licences or permits issues under environment or heritage legislation/regulations.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> STRATEGIC MANAGEMENT - Audit 19.2.1 for records relating to audits that identify significant deficiencies or breaches of compliance.</p>	
2.1.1		<p>Records relating to the conduct of infrastructure asset project audits including action taken to address identified issues or breaches. Records include:</p> <ul style="list-style-type: none"> • audit reports, action lists and checklists • briefing notes • minutes of meetings • schedules/programs • correspondence with audit parties. 	Retain minimum of 12 years after project completed, then destroy
2.2.0	Community & Stakeholder Liaison	<p>The activity of liaising and engaging with stakeholders and the community.</p> <p>See INFRASTRUCTURE CONSTRUCTION - Construction management for records relating to the organisation's project reporting to key stakeholders, such as the Portfolio Minister.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS for records relating to addresses and presentations, enquiries, complaints, liaison, marketing etc. associated with promoting and managing the organisation's broad public profile and managing public enquiries and reactions to the organisation's services and projects.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> GOVERNMENT RELATIONS - Addresses for records relating to the giving of general presentations and speeches to government agencies.</p>	

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE CONSTRUCTION - Community & Stakeholder Liaison</i>			
		<p>See General Retention and Disposal Authority <i>Administrative records</i> PROPERTY MANAGEMENT for records relating to the leasing, fit-out, etc. of Community Information Offices.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> PUBLICATION - Production for records relating to graphic design, typesetting, printing, etc., for published newsletters, brochures, factsheets, plans and reports.</p>	
2.2.1		<p>Records documenting key communications, dealings and liaison with community stakeholders (such as community groups, transport users, impacted residents, local councils, etc.) regarding specific transport infrastructure development or construction projects. Includes records documenting:</p> <ul style="list-style-type: none"> • established agreements or protocols concerning management of environmental, heritage or cultural matters • meetings with community representatives or stakeholder liaison groups (agenda, minutes, advice or correspondence concerning agreed actions or outcomes) • advice, notifications, briefing materials and published information resources concerning the project. 	Required as State archives
2.2.2		<p>Records relating to planning and coordination of community and project stakeholder liaison (including alliance teams, partners and utilities, etc.) for specific transport infrastructure development or construction projects. Records include:</p> <ul style="list-style-type: none"> • community and project stakeholder liaison and management plans • presentation notes & accompanying hand-outs • general newsletters, brochures and updates relating to the project and progress • advice, notifications, briefing material provided to project stakeholders, including updates provided via websites and apps. 	Retain minimum of 12 years after project completed, then destroy

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE CONSTRUCTION - Community & Stakeholder Liaison</i>			
2.2.3		Records of standard advice and briefing material provided to project stakeholders for all infrastructure projects, such as operational noise factsheets, and updates provided via websites and apps.	Retain minimum of 7 years after action completed, then destroy
2.2.4		Records supporting the development of project-related stakeholder liaison and management plans, information resources and publications and the coordination of stakeholder contacts.	Retain until administrative or reference use ceases, then destroy
2.3.0	Construction management	<p>The activities and tasks associated with project managing the construction or upgrade of infrastructure assets.</p> <p>See INFRASTRUCTURE CONSTRUCTION - Technical design for records relating to the technical design of infrastructure assets.</p> <p>See PROCUREMENT AND CONTRACT MANAGEMENT for records relating to tenders and contracts for infrastructure projects.</p> <p>See Functional Retention and Disposal Authority <i>Rail Corporation of NSW, Rail Infrastructure Corporation and State Rail Authority of NSW</i> SAFETY MANAGEMENT for records relating to specific legislated requirements for managing rail safety in relation to infrastructure construction.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> GOVERNMENT RELATIONS - Reporting for records relating to the organisation's reporting on the development and delivery of transport infrastructure assets to the Portfolio Minister.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> OCCUPATIONAL HEALTH & SAFETY for records relating to accidents and incidents involving staff on construction sites and also compliance and certification for staff working on construction sites.</p>	

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
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INFRASTRUCTURE CONSTRUCTION - Construction management

		See General Retention and Disposal Authority <i>Administrative records</i> PROPERTY MANAGEMENT – Construction for records relating to the construction of roads.	
2.3.1		<p>Records relating to infrastructure asset construction project management, reliability and integration testing and monitoring, close-out and handover. Includes records relating to:</p> <ul style="list-style-type: none"> • project management plans, staging plans, time management reports and other project management documentation to manage timeframes, project deliverables and milestones • management of defects, periodic worksite inspections, quality assurance and time management • reliability and integration testing and monitoring and investigations into project-based reliability incidents • project progress and issues reporting in relation to the projects (e.g. compliance and managing reporting and monthly Chief executive reports) • inspection and testing to ensure performance in accordance with requirements prior to hand-over to asset owner/operator • the close-out of projects and handover of infrastructure to asset owner/operator including plans to manage operational readiness • the provision of training for the asset owner /operator / maintainer • worksite safety inspections records including inspection checklists and reports, consultation documents, site inspection notes, Safe Work Method Statements (SWMS) checklists, safety management plans, safety hazard logs, and risk registers. 	Retain minimum of 12 years after project completed, then destroy
2.3.2		Records relating to the drafting and development of project progress and issues reports. Records include drafts, stakeholder comments, briefing papers and associated background and working papers.	Retain minimum of 3 years after action completed, then destroy

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE CONSTRUCTION - Construction management</i>			
2.3.3		Records relating to Safety Assurance Statements (SAS), Safety Assurance Reports (SAR), inspection and test plans (ITP) showing the final 'sign-off' for each stage of an asset's development and for its operational readiness and commissioning phase, and records relating to requests for changes to agreed configurations of infrastructure.	Retain until minimum 7 years after decommissioning or disposal of asset, then destroy
2.3.4		Original notes/diaries for reliability-related site inspections.	Retain minimum of 2 years after data has been updated into report format, then destroy
2.3.5		Records relating to the development of training material for the asset owner / operator / maintainer. Records include drafts, working papers, course confirmation records, routine correspondence with attendees.	Retain minimum of 2 years after action completed, then destroy
2.4.0	Reviewing	The activity associated with the formal review of all infrastructure asset development and delivery projects, once concluded. See INFRASTRUCTURE CONSTRUCTION - Construction management for internal and compliance reporting on projects See General Retention and Disposal Authority <i>Administrative records</i> GOVERNMENT RELATIONS - Reporting for records relating to the organisation's reporting on the development and delivery of transport infrastructure assets to the Portfolio Minister.	
2.4.1		Records relating to internal reviews of completed infrastructure asset development and delivery projects. Records include best practice reports and lessons learned review report.	Required as State archives

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE CONSTRUCTION - Technical design</i>			
2.5.0	Technical design	<p>The activity associated with the engineering and technical design of infrastructure assets including designs for fleet and rolling stock. Includes design approvals, reviews for design completeness and appropriateness, verification and validation.</p> <p>See INFRASTRUCTURE CONSTRUCTION - Construction management for records relating to the project management of construction following the technical design phase.</p> <p>See PROCUREMENT AND CONTRACT MANAGEMENT for records relating to the assessment of tenders for the technical design and/or construction of infrastructure assets.</p>	
2.5.1		<p>Records documenting the engineering and technical design and review of significant or large scale infrastructure assets that substantially add to, alter or enhance transport infrastructure including transport rolling stock and fleet. Records include:</p> <ul style="list-style-type: none"> • pre-concept and concept designs, and concept design reports • design reviews and specifications • general arrangement and component drawings for fleet and rolling stock • aerial site photographs documenting map changes • design management plans and drawings. 	Required as State archives
2.5.2		<p>Records documenting the engineering and technical design and review of all other infrastructure assets that do not substantially add to, alter or enhance transport infrastructure including transport rolling stock and fleet. Records include:</p> <ul style="list-style-type: none"> • pre-concept and concept designs and concept design reports • design reviews and specifications • general arrangement and component drawings for fleet and rolling stock • aerial site photographs documenting map changes 	Retain minimum of 7 years after asset decommissioning or disposal, then destroy

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE CONSTRUCTION - Technical design</i>			
		<ul style="list-style-type: none"> • design management plans, and • design drawings, including Approved For Construction (AFC), and final Work As Executed (WAE) drawings. 	
2.5.3		<p>Working papers relating to the engineering and technical design of infrastructure assets. Records include:</p> <ul style="list-style-type: none"> • reference designs and design schedules • Certificates of No Objection (CNO) and internal approvals • advice and correspondence supporting designs, and • technical management plans. 	Retain minimum of 12 years after project completed, then destroy
3.0.0	INFRASTRUCTURE ASSET MAINTENANCE	<p>The function of managing and maintaining existing infrastructure assets. Includes managing the impact of the organisation's infrastructure activities on the natural and built environment, including cultural and moveable heritage.</p> <p>See INFRASTRUCTURE CONSTRUCTION for records relating to planning and delivering infrastructure maintenance involving major/minor capital works projects.</p> <p>See INFRASTRUCTURE PLANNING AND INVESTMENT - Funding Assistance for records relating to the organisation's provision of grants or funding assistance to local councils for maintenance of road infrastructure.</p> <p>See INFRASTRUCTURE PLANNING AND INVESTMENT - Project Development for records relating to the acquisition of transport fleet.</p> <p>See INFRASTRUCTURE PLANNING AND INVESTMENT - Transport Land & Property Management for records relating to land and property acquisition and disposal for infrastructure projects / transport corridors.</p> <p>See General Retention and Disposal Authority <i>Administrative records CONTRACTING-OUT</i> for the contracting out of maintenance services.</p>	

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE ASSET MAINTENANCE - Configuration Management</i>			
		<p>See General Retention and Disposal Authority <i>Administrative records</i> FLEET MANAGEMENT for records relating to vehicles used for maintenance purposes or incident response.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> STRATEGIC MANAGEMENT - Audit for records relating to audits to ensure compliance with agreed or legislated standards, processes or procedures. Includes environmental management audits, safety audits, product quality audits, risk management audits, and time management audits.</p>	
3.1.0	Configuration Management	The activity of providing governance, management and control over how infrastructure assets are configured, including the configuration of infrastructure assets to integrate with the system of network assets.	
3.1.1		<p>Configuration documentation that identifies the physical and functional characteristics of infrastructure assets required to maintain a configuration item throughout its lifecycle, and changes to an items configuration. Includes:</p> <ul style="list-style-type: none"> • 'As built' design specifications and drawings • physical and functional characteristics • performance history • maintenance and operational requirements • design calculations and hazard logs • requests for change control numbers • change control registers • applications for changes to configuration items • supporting documentation determinations. 	Retain minimum of 7 years after asset decommissioning or disposal, then destroy
3.2.0	Decommissioning and Disposal	The activity of decommissioning and disposing of moveable infrastructure assets.	

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE ASSET MAINTENANCE - Decommissioning and Disposal</i>			
		See General Retention and Disposal Authority <i>Administrative records</i> PROPERTY MANAGEMENT - Disposal for records relating to disposal of land and property for transport infrastructure projects assets including disposal of heritage listed property and assets.	
3.2.1		Records documenting the disposal of moveable (non-fixed) infrastructure assets. Includes assessments and inspections, valuation, actions taken in preparation for disposal such as removal of components for recycling.	Retain minimum of 7 years after asset decommissioning or disposal, then destroy
3.3.0	Maintenance planning and delivery	<p>The activity of planning and delivering a program of maintenance for infrastructure assets. This includes routine maintenance, major planned maintenance and unplanned maintenance in response to an incident requiring repairs.</p> <p>See INFRASTRUCTURE CONSTRUCTION for records relating to construction projects that produce significant or extensive upgrades to existing infrastructure assets.</p> <p>See INFRASTRUCTURE PLANNING AND INVESTMENT for records relating to the development of high level strategic frameworks and asset management plans for maintaining and monitoring the lifecycle, condition and performance of infrastructure, assets and fleet.</p> <p>See INFRASTRUCTURE PLANNING AND INVESTMENT - Road Declaration and Classification for records relating to the transfer of ownership or responsibility for road assets to other road authorities.</p> <p>See Functional Retention and Disposal Authority <i>Rail Corporation of NSW, Rail Infrastructure Corporation and State Rail Authority of NSW</i> SAFETY MANAGEMENT for records relating to specific legislated requirements for managing rail safety in relation to infrastructure asset maintenance.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> OCCUPATIONAL HEALTH & SAFETY for records relating to accidents and</p>	

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE ASSET MAINTENANCE - Maintenance planning and delivery</i>			
		<p>incidents involving staff on construction sites and also compliance and certification for staff working on construction sites.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> PROPERTY MANAGEMENT - Maintenance for records relating to routine maintenance and monitoring (cleaning, landscaping, painting, etc.,) of transport facilities such as bus, ferry and rail stations and interchanges.</p>	
3.3.1		<p>Records relating to conservation maintenance conducted on assets that have been identified as having heritage significance. Includes assets that are subsequently removed from the heritage asset register by transfer or sale. Records include:</p> <ul style="list-style-type: none"> • applications seeking changes to heritage assets • designs, plans of major maintenance work undertaken • advice and submissions given to or received from heritage bodies regarding maintenance, repair or adaptation • records of outcomes of community and stakeholder consultation • agreements and protocols established between the organisation and communities concerning the management of cultural, heritage or environmental matters • final, approved agreements • condition treatment reports • heritage agreements • records of site inspections, monitoring and maintenance reports • records of remedial actions. 	Required as State archives
3.3.2		Records relating to the development of asset management and maintenance plans for infrastructure assets, and primary or key records documenting the performance	Retain minimum of 7 years after asset decommissioning

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE ASSET MAINTENANCE - Maintenance planning and delivery</i>			
		<p>and maintenance history of infrastructure assets, such as asset registers, Safety Assurance Statements (SAS) and Safety Assurance Reports (SAR).</p> <p>Includes records relating to the installation, performance, maintenance and reliability of individual assets or components such as:</p> <ul style="list-style-type: none"> • calibration records and certificates • requests and approvals for modification • service/maintenance logs • photographs and footage • checklists • test/trial results • maintenance reports. 	and disposal, then destroy
3.3.3		<p>Records relating to the conduct of maintenance processes for infrastructure assets that do not comprise the primary performance or maintenance history and are not required for the purposes of managing ongoing maintenance. Includes the operational scheduling of maintenance, the allocation of resources to the development of asset management and asset maintenance plans, and project-related worksite safety inspections. Includes:</p> <ul style="list-style-type: none"> • inspection checklists and reports, and site inspection notes • consultation documents • Safe Work Method Statements (SWMS) checklists • safety management plans and safety hazard logs • risk registers • work requests, work orders and schedules 	Retain minimum of 7 years after action completed, then destroy

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE ASSET MAINTENANCE - Monitoring and inspections</i>			
		<ul style="list-style-type: none"> • checklists, forms, sheets, etc., used by field staff to record works and activities and update systems • cleaning service arrangements • horticultural and landscaping service arrangements • notifications to authorities or other affected parties of proposed works or activities • consultation with community and stakeholders • consolidated performance and reliability data or reports • statistics on monitoring, maintenance, test or inspection activities or works carried out, completed or outstanding • performance and progress reports on infrastructure maintenance programs and projects • internal reviews of infrastructure asset maintenance programs and projects. 	
3.4.0	Monitoring and inspections	<p>The activity of monitoring and inspecting the condition and performance of infrastructure assets.</p> <p>See ENVIRONMENT AND HERITAGE MANAGEMENT for records relating to environmental inspections.</p>	
3.4.1		Records documenting the condition and performance of transport infrastructure assets required to manage the asset over their full lifecycle. Records include maintenance, monitoring and testing requests, logs, reporting and certification.	Retain minimum of 7 years after asset decommissioning or disposal, then destroy
3.4.2		Records relating to the analysis of infrastructure asset condition or performance monitoring data to identify defects, need for follow up, remedial action, etc.	Retain minimum of 7 years after action

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE ASSET MAINTENANCE - Monitoring and inspections</i>			
			completed, then destroy
3.4.3		Survey, monitoring and systems data generated as part of routine maintenance, condition or performance monitoring and checking of infrastructure assets.	Retain until reference use ceases, then destroy
3.5.0	Transport Fleet Management	<p>The activity of managing the use of transport fleet and rolling stock. Transport fleet includes trains, light rail, buses, ferries, wagons, locomotives and road-rail vehicles and track machines which must be certified and registered to operate on the rail network.</p> <p>See INFRASTRUCTURE ASSET MAINTENANCE - Decommissioning and Disposal for records relating to the disposal or decommissioning of transport fleet assets.</p> <p>See INFRASTRUCTURE ASSET MAINTENANCE - Maintenance planning and delivery for records relating to the maintenance of transport fleet assets.</p> <p>See INFRASTRUCTURE PLANNING AND INVESTMENT for records relating to the acquisition of trains, light rail, buses, ferries, wagons, locomotives and road-rail vehicles.</p> <p>See PROCUREMENT AND CONTRACT MANAGEMENT for records relating to tenders and contracts for acquisition, design, construction, maintenance and disposal of transport fleet and rolling stock.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> FLEET MANAGEMENT for records relating to specialised or modified road vehicles or marine vessels used for maintenance purposes or incident response.</p>	
3.5.1		Records relating to the certification or registration of the organisation's transport fleet, including road-rail vehicles and small plant items to operate on the rail	Retain minimum of 7 years after expiry or revocation of

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>ENVIRONMENT AND HERITAGE MANAGEMENT</i>			
		<p>network, and requests and approvals authorising the use of fleet, such as approving vehicles for use at project worksites. Includes:</p> <ul style="list-style-type: none"> • records of inspections and renewals • engineering reports that provide assurance for the vehicle design, details of modifications, issue of certification labels, corrective actions and decertification notices. 	authorisation, then destroy
4.0.0	ENVIRONMENT AND HERITAGE MANAGEMENT	<p>The function of managing the impact of the organisation's infrastructure development and maintenance activities on the natural and built environment, including cultural and moveable heritage.</p> <p>See INFRASTRUCTURE ASSET MAINTENANCE - Maintenance planning and delivery for records relating to the conservation maintenance of heritage infrastructure assets.</p> <p>See INFRASTRUCTURE PLANNING AND INVESTMENT - Project Development for records relating to environmental assessments for specific development projects or upgrades including specialist heritage reports such as Heritage Assessments, Heritage Impact Assessments, Cultural Heritage Assessments and Archaeological Reports.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Public reaction for records relating to the management of complaints about the organisation's handling of environmental issues, e.g. air, noise, and water pollution, waste, pest and weed management, etc.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> PROPERTY MANAGEMENT - Conservation for records relating to the remediation of contaminated sites and the identification and management of heritage assets.</p>	
4.1.0	Compliance Operations	The activity of managing compliance with environmental legislation, regulations, licences and permit conditions.	

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>ENVIRONMENT AND HERITAGE MANAGEMENT - Compliance Operations</i>			
4.1.1		Records relating to infringements of compliance by the organisation which result in a penalty. Records include infringement and penalty notices and correspondence and liaison regarding the notices.	Retain minimum of 7 years after action completed, then destroy
4.1.2		Records relating to applications by the organisation for licences and permits in compliance with environmental and heritage regulatory requirements. Includes: <ul style="list-style-type: none"> • application documentation and determinations • correspondence with issuing body • licence variations and renewals • conditions of approval • notifications. 	Retain minimum of 7 years after expiry or termination of licence, then destroy
4.1.3		Records relating to inspections, monitoring and reporting on operations or activities for compliance with regulations, licences, permits, contracts, best practice, etc. Records include: <ul style="list-style-type: none"> • monitoring and reporting data • reporting such as inspection reports, routine statistical reports and annual returns to regulatory authorities or organisations • records of audits and non-conformance reports. 	Retain minimum of 7 years after action completed, then destroy
4.2.0	Engagement with Communities	The activity of liaising and engaging with communities regarding management of the environmental or heritage impact of infrastructure construction and maintenance activities. See INFRASTRUCTURE CONSTRUCTION - Community & Stakeholder Liaison for records relating to community and stakeholder liaison about transport infrastructure construction projects.	

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>ENVIRONMENT AND HERITAGE MANAGEMENT - Engagement with Communities</i>			
4.2.1		Agreements and protocols established between the organisation and communities concerning the management of cultural, heritage or environmental matters and the planning, construction or maintenance of infrastructure assets. Records include consultation and negotiation of cultural, heritage or environmental management agreements, plans and protocols.	Required as State archives
4.2.2		Records relating to the registration of advisors to provide advice and assistance in the identification or description of sites or artefacts of cultural/heritage/environmental value/significance.	Retain minimum of 7 years after project is completed, then destroy
4.3.0	Environmental management plans	The activity of developing plans to protect and preserve environments and ecosystems impacted by transport infrastructure. See General Retention and Disposal Authority <i>Administrative records</i> PROPERTY MANAGEMENT - Conservation for plans relating to the management of heritage assets.	
4.3.1		Records documenting environmental management policies and strategies developed or adopted by the organisation to address or reduce the impact of transportation, traffic and navigation operations and activities on the environment.	Required as State archives
4.3.2		Final, approved ongoing or project-related plans for managing environmental impacts of infrastructure asset construction and operation.	Retain minimum of 12 years after project completed or maintenance period expires, then destroy
4.3.3		Records relating to the development of environmental and vegetation management plans. Records include:	Retain minimum of 2 years after plans

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>ENVIRONMENT AND HERITAGE MANAGEMENT - Heritage interpretation</i>			
		<ul style="list-style-type: none"> • drafts and background material • correspondence with relevant project stakeholders, and • plans not approved. 	are finalised, then destroy
4.4.0	Heritage interpretation	The activity of promoting awareness and understanding of heritage assets owned or controlled by the organisation.	
4.4.1		Records relating to promoting awareness and understanding of heritage assets owned or controlled by the organisation. Includes records relating to planning, design, production of public outreach materials, exhibitions, tours, etc.	Retain minimum of 5 years after action completed, then destroy
4.5.0	Pollution management programs	<p>The activity of managing programs aimed at preventing and reducing the impact of pollution.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> PROPERTY MANAGEMENT - Conservation for records relating to remediation of contaminated sites.</p>	
4.5.1		<p>Records documenting programs and projects for managing pests and weeds which involve biological, chemical or physical control methods such as spraying, baiting, trapping and shooting. Records include maps, diaries and logs, work or project schedules, progress reports of works carried out, etc.</p> <p>Note: these records may need to be retained for longer if there are risks associated with the use of noxious chemicals.</p>	Retain minimum of 20 years after action completed, then destroy
4.5.2		<p>Records documenting programs or projects to prevent or manage the impact of pollution, including:</p> <ul style="list-style-type: none"> • removing waste and litter from land and waterways including data, periodic reports and annual summaries 	Retain minimum of 7 years after action completed, then destroy

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>PROCUREMENT AND CONTRACT MANAGEMENT</i>			
		<ul style="list-style-type: none"> noise abatement and mitigation to locations where traffic or transport noise is high, including noise barriers and mounds and architectural acoustic treatments. Records include applications from private property owners, noise and vibration assessments, contracts, coordination and inspection of works etc. 	
5.0.0	PROCUREMENT AND CONTRACT MANAGEMENT	<p>The function of arranging or developing contracts, agreements, memorandum of understanding or other instruments for procuring services or support for infrastructure development or maintenance delivery. Also includes contract administration once the contract has been awarded/finalised.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> LEGAL SERVICES - Litigation for records relating to management of disputes with contractors or consultants which results in litigation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> TENDERING for records relating to procurement and management of contracts that are not related to key or significant infrastructure projects, maintenance delivery or upgrades.</p>	
5.1.0	Contract Management	Records relating to the procurement of services for key or significant strategic infrastructure construction and maintenance delivery projects including significant upgrades to infrastructure assets.	
5.1.1		<p>Records relating to issuing contracts, agreements, memorandum of understanding or other instruments for key or significant strategic infrastructure development and delivery projects. Includes:</p> <ul style="list-style-type: none"> Alliance contracts Public Private Partnerships (PPPs) specialty contracts for infrastructure delivery models such as design and construct contracts, operate and maintain contracts, build own operate transfer contracts, etc. 	Required as State archives

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE ASSET SECURITY</i>			
		<p>Records include:</p> <ul style="list-style-type: none"> • correspondence and records of negotiations including minutes or notes of meetings • draft versions of contracts or agreements containing significant changes/alterations or formally circulated for comment • final, approved and signed versions of contracts or agreements • records of variation or review of contracts or agreements. 	
6.0.0	INFRASTRUCTURE ASSET SECURITY	<p>The function of assessing security threats to infrastructure and planning and coordinating how to respond.</p> <p>See INFRASTRUCTURE ASSET MAINTENANCE - Maintenance planning and delivery for records relating to implementation of security measures for specific infrastructure sites or types, e.g. installation of physical security barriers or surveillance equipment.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> PROPERTY MANAGEMENT - Planning for records relating to operational or management plans for improving the security of specific infrastructure assets.</p>	
6.1.0	Security planning	<p>The activity of developing plans and strategies for improving the security of critical infrastructure such as ports, bridges and tunnels, including responding to threats of terrorism.</p>	
6.1.1		<p>Records relating to the development of plans for preventing and responding to security threats which require a large-scale, coordinated multi agency response. Includes contingency plans developed in compliance with national or state-wide requirements, or the requirements of regulatory bodies. Includes correspondence, consultation and liaison with other agencies involved in developing a coordinated response to security threats.</p>	<p>Retain minimum of 10 years after plan is superseded, then destroy</p>

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE ASSET SECU</i>			
7.0.0	STANDARDS AND MATERIALS	The function of establishing policy, procedures, standards and guidelines for acquiring, constructing, integrating, maintaining and disposing of infrastructure assets. Also includes undertaking technical investigations and providing technical advice in conformance with infrastructure asset standards.	
7.1.0	Concessions and wavers	The activity of managing applications made by the organisation to deviate from mandatory infrastructure asset standards under stated circumstances, known as concessions or waivers.	
7.1.1		Records relating to applications for concessions or waivers to deviate from infrastructure asset standards. Includes full concessions for planned projects and works and interim concessions for emergency projects and works that must be undertaken at short notice. Records include: <ul style="list-style-type: none"> • summary records • applications • risk assessments • supporting documents • correspondence • determinations. 	Retain minimum of 7 years after expiry, then destroy
7.2.0	Laboratory services	The activity of providing scientific testing and technical investigation services, such as geotechnical, road surface and construction materials testing and investigations.	
7.2.1		Records documenting the provision of laboratory testing services. Includes records of testing data, results and analysis associated with the provision of technical investigation services.	Retain in agency

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE ASSET SECURITY</i>			
7.3.0	Policies, procedures, standards and guidelines	<p>The activities involved in developing and reviewing policies, procedures, standards and guidelines relating to developing, acquiring, constructing, integrating, maintaining and disposing of infrastructure assets.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMITTEES for agenda and minutes of document development committees, workgroups, etc.</p>	
7.3.1		Final approved policy, procedures, standards and guidelines for developing, acquiring, constructing, integrating, maintaining and disposing of infrastructure assets. Includes engineering standards, technical documents, specifications, manuals and templates. Includes summary records documenting the status, review and update of infrastructure asset policy, procedures, standards and guidelines.	Retain in agency
7.3.2		<p>Records relating to the development of policy, procedures, standards and guidelines for developing, acquiring, constructing, integrating, maintaining and disposing of infrastructure assets. Includes records documenting:</p> <ul style="list-style-type: none"> • change requests, development paths, • stakeholder identification, impact assessments and implementation requirements • stakeholder consultation and review • approval of content. 	Retain minimum of 7 years after superseded, then destroy
7.4.0	Technical investigations	<p>The activity of investigating and assessing infrastructure assets and construction materials for conformance with specifications. Includes materials testing such as pavement and road surfaces, geotechnical investigations of soil, rock and groundwater sampling, as well as expert structural engineering advice.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> GOVERNMENT RELATIONS - Reporting for records relating to reporting to the Minister and other Government agencies on investigations of infrastructure assets.</p>	

Planning, construction and maintenance of transport infrastructure

Authority number: FA382

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE ASSET SECURITY</i>			
7.4.1		<p>Records relating to geotechnical, structural and other tests, inspections and investigations of transport infrastructure assets. Includes:</p> <ul style="list-style-type: none"> • strategic and technical inspections regarding the impact and management of heavy freight and excess mass vehicles on structures, such as assessments, load capacity assessments and reports • construction site investigations, materials, soil, rock and groundwater sampling and associated reports, analysis and data • routine, unplanned and emergency structural engineering inspections, including requests for assessment or advice, defect reports, scope of work, inspection results, remedial action • core sample testing, data, photographs and reports. <p>Note: Physical samples including rock, soil and groundwater are not considered to be State records and are not covered by this class.¹</p>	Retain minimum of 7 years after asset decommissioning or disposal, then destroy
7.4.2		Records documenting research into infrastructure asset construction materials technology.	Retain minimum of 10 years after action completed, then destroy

¹ Note added June 2022.