



Public Record Office Standard

PROS 14/03

Authority

Retention & Disposal Authority for Records of the Transport Asset Management Function

Version 2014

14/03

Issue Date: 6/10/2014

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Under section 12 of the *Public Records Act* 1973, the Keeper of Public Records is responsible for the establishment of standards for the efficient management of public records and for assisting public offices to apply those standards to records under their control. Officers in charge of public offices are responsible under section 13 of the *Act* for carrying out, with the advice and assistance of the Keeper, a program of records management in accordance with the standards established under section 12 of the *Act*.

1 Introduction

1.1 Purpose of this Authority

The purpose of this Authority is to provide a mechanism for the disposal of public records in accordance with the *Public Records Act 1973*.

The Authority:

- identifies records which are worth preserving permanently as part of Victoria's archival heritage
- prevents the premature destruction of records which need to be retained for a specified period to satisfy legal, financial and other requirements of public administration, and
- authorises the destruction of those records not required permanently.

1.2 Context of this Authority

1.2.1 Public Record Office Victoria Standards

This Authority should be used in conjunction with the Standards issued by the Keeper of Public Records under Section 12 of the *Public Records Act 1973*. Copies of all relevant PROV standards, specifications and regulatory advice can be downloaded from www.prov.vic.gov.au. These documents set out the procedures that must be followed by Victorian public offices.

1.2.2 Disposal of records identified in the Authority

Disposal of public records identified in this Authority must also be in accordance with the requirements of Public Record Office Standard PROS 10/13 *Disposal*.

1.2.3 Transfer of records to Public Record Office Victoria

Contact Public Record Office Victoria for further information on procedures for transferring permanent records to archival custody.

1.2.4 The *Crimes (Document Destruction) Act 2006*

It is an offence under the *Crimes (Document Destruction) Act 2006* for individuals or organisations to destroy documents that they know are reasonably likely to be required in a future legal proceeding, with the intention of keeping the documents out of evidence. Destroying records however in accordance with a valid Authority is lawful as long as the requirements under the *Crimes (Document Destruction) Act 2006* are met.

PROV strongly advises that all agencies familiarise themselves with the requirements under the *Crimes (Document Destruction) Act 2006* and *Evidence (Document Unavailability) Act 2006*, and PROV Advice to Agencies 18: *Crimes (Document Destruction) Act 2006: Implications for government recordkeeping*.

1.2.5 Normal Administrative Practice

The destruction of some public records is permitted without final authorisation under normal administrative practice (NAP). NAP covers the destruction of ephemeral material of a facilitative nature created, acquired or collected by public officers during the course of their duties.

The following material may be destroyed under NAP:

- working papers consisting of rough notes and calculations used solely to assist in the preparation of other records such as correspondence, reports and statistical tabulations
- drafts not intended for retention as part of the office's records, the content of which has been reproduced and incorporated in the public office's record keeping system
- extra copies of documents and published material preserved solely for reference.

1.3 Use of Other Authorities

In applying the disposal sentences set out in this Authority, reference should be made to other current Authorities where applicable. Where there is a conflict between two Authorities (for instance this Authority and the General Retention and Disposal Authority for Records of Common Administrative Functions), consult the Public Record Office Victoria for advice.

1.4 Explanation of Authority Headings

CLASS NUMBER

The class number or entry reference number provides citation and ease of reference.

DESCRIPTION

The description of each record class is specified in this entry. A record class is a group of records that relate to the same activity, function or subject and require the same disposal action.

STATUS

This entry provides the archival status of each class - either permanent or temporary.

CUSTODY

This entry specifies whether the records are to be retained by the public office or transferred to the Public Record Office Victoria.

Permanent electronic records are to be transferred in VERS Encapsulated Object (VEO) format according to PROS 99/007 - Management of Electronic Records (Version 2).

The storage of public records identified in this Authority must also be in accordance with the requirements of Public Record Office Standard PROS 11/01 *Storage*.

2 Concurrence of Public Office

This Authority has the concurrence of:

Signature: [signed]

Name: Campbell A Rose

Date: 30/09/2014

Position: Chief Executive, VicTrack

3 Establishment of Standard

Pursuant to Section 12 of the *Public Records Act 1973*, I hereby establish these provisions as a Standard (also known as a Retention and Disposal Authority) applying to the records of the Transport Asset Management function.

This standard as varied or amended from time to time, shall have effect from the date of issue unless revoked.

Justine Heazlewood
Director & Keeper of Public Records

Date of Issue: 6/10/2014

4 Further Information

You can obtain relevant publications, supplies of relevant forms, and answers to any enquiries you may have by first contacting your agency's records manager or the Public Record Office Victoria:

Public Record Office Victoria

 (03) 9348 5600

e-mail: agency.queries@prov.vic.gov.au

web: www.prov.vic.gov.au

5 Table of Functions

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6 Retention & Disposal Authority

TRANSPORT ASSET MANAGEMENT			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		Status	Custody
1.0.0	<p>TRANSPORT ASSET MANAGEMENT</p> <p>The development, operation and maintenance of transport infrastructure assets (including rail assets) owned by the agency.</p> <p>Transport assets can include rail track, locomotives, trams, bridges, rolling stock and stations.</p> <p>This function includes:</p> <ul style="list-style-type: none"> • The remediation of contaminated agency owned land because of contamination that may be present in the soil and groundwater of the land resulting from its past use in transport related activities, • the conservation and preservation of heritage listed assets • planning, design and construction as well as operation and maintenance of transport infrastructure assets, • acquisition and disposal of rail fleet including locomotives, carriages and trams, • maintaining compliance with safety accreditation regulations <p>[For arrangements made for short term access to agency owned property, including commercial or community leasing, use PROPERTY MANAGEMENT – Leasing-Out in General Retention and Disposal Authority for Common Administrative Functions] <i>cont'd..</i></p>		

TRANSPORT ASSET MANAGEMENT			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		Status	Custody
	<p>[For arrangements made for long term or perpetual access to Agency owned property use PROPERTY MANAGEMENT – Acquisition in General Retention and Disposal Authority for Records of Common Administrative]</p> <p>[For the management of health and safety risks to employees or contractors, see OCCUPATIONAL HEALTH AND SAFETY in the General Retention and Disposal Authority for Records of Common Administrative Functions]</p> <p>[For the engagement and management of contractors see CONTRACTING OUT in General Retention and Disposal Authority for Records of Common Administrative Functions]</p> <p>[For the purchase of assets using a tendering process use CONTRACTING OUT – Tendering in General Retention and Disposal Authority for Common Administrative Functions]</p>		

TRANSPORT ASSET MANAGEMENT			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		Status	Custody
1.1.0	<p>Environmental Management Programs</p> <p>The development and administration of programs designed to ensure a healthy and sustainable relationship between the natural environment and the agency’s use of land as well as the remediation of land that has been contaminated due to past usage. Includes ensuring compliance with various environmental protection and safety legislation and regulations.</p> <p>Types of remediation works undertaken can include:</p> <ul style="list-style-type: none"> • removal or treatment of soil contamination from chemical spills including diesel or other petrochemicals • identification and removal of asbestos or other hazardous materials from railway buildings • re-vegetation of land no longer required for transport purposes 		

TRANSPORT ASSET MANAGEMENT			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		Status	Custody
1.1.1	<p>The development and establishment of environmental management programs including land remediation programs for both individual sites as well as those programs for all sites of the agency.</p> <p>Records include:</p> <ul style="list-style-type: none"> • summary records of land owned or managed by the agency that have been assessed for contamination by hazardous materials or other pollutants (registers of contaminated land) • summary and annual reports on outcomes of the remediation programs • site management plans • construction environmental management plans • groundwater quality management plans 	<p>Permanent</p> <p>Retain as State Archives.</p>	<p>Transfer to PROV when administrative use has concluded.</p> <p>Electronic records are to be transferred in VEO format.</p>

TRANSPORT ASSET MANAGEMENT			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		Status	Custody
1.1.2	<p>Records relating to the implementation of remediation programs including the removal of contaminants or pollutants from the land, the disposal of contaminated material in an environmentally sustainable manner and the re-vegetation of land with native flora and fauna.</p> <p>Records include:</p> <ul style="list-style-type: none"> • audits and assessments of land for environment and sustainability purposes • reports of environmental incidents that have occurred on properties owned or managed by the agency • reviews of remediation programs and the outcomes of those reviews • consultant and contractor’s reports relating to the implementation of remediation programs • certifications of work undertaken 	<p>Temporary</p> <p>Destroy 25 years after conclusion of program.</p>	<p>Hold in Agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>
1.2.0	<p>Heritage Asset Management</p> <p>The planning and coordination of programs designed for the restoration and preservation of heritage listed assets including heritage train stations (both active and non-operational), railway platforms, signaling boxes , non-operational railway bridges and other non-building heritage listed assets</p>		

TRANSPORT ASSET MANAGEMENT			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		Status	Custody
1.2.1	<p>Records documenting the development, establishment and review of restoration or conservation strategies, projects or programs relating to heritage assets.</p> <p>Records include:</p> <ul style="list-style-type: none"> • reports that provide the background, overviews, objectives and methodology of projects and programs • reports on outcomes of restoration and conservation projects undertaken, including interim, annual and summary reports • heritage surveys 	<p>Permanent</p> <p>Retain as State Archives.</p>	<p>Transfer to PROV when administrative use has concluded.</p> <p>Electronic records are to be transferred in VEO format.</p>
1.3.0	<p>Asset Planning, Design and Construction</p> <p>Implementing and managing the design and construction of transport infrastructure assets (including rail infrastructure) that is owned by the agency.</p>		
1.3.1	<p>Final records of the drafting, planning and design, construction or refurbishment of transport infrastructure assets where construction of the asset has proceeded.</p> <p>Records include final approved as-built drawings, concept / architectural design drawings, physical network drawings, proposed route maps/drawings, engineering reports, specifications, commissioning records.</p>	<p>Permanent</p> <p>Retain as State Archives.</p>	<p>Transfer to PROV when administrative use has concluded.</p> <p>Electronic records are to be transferred in VEO format.</p>

TRANSPORT ASSET MANAGEMENT			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		Status	Custody
1.3.2	Records that facilitate the design and construction of new or refurbished transport assets. Records include drafts of drawings, designs and reports.	Temporary Destroy 15 years after administrative use has concluded.	Hold in Agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
1.3.3	Records documenting the planning and design for a new or refurbished transport asset where the construction or implementation of the asset does not processed. Records include proposals, and proposed drawings and designs	Temporary Destroy 15 years after administrative use has concluded.	Hold in Agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

TRANSPORT ASSET MANAGEMENT			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		Status	Custody
1.4.0	<p>Asset Operation and Maintenance</p> <p>The management of operation and maintenance of transport infrastructure for the State including the day to day operations and management of trains.</p> <p>Day to day operations of the transport network can include:</p> <ul style="list-style-type: none"> • arranging access to the rail network by accredited rail operators, • facilitating access to facilities such as the Dynon Rail Freight terminal and railway sidings, • scheduling and Traffic Control activities across agency owned rail, • monitoring the condition of the network and correcting faults as necessary, • proactive and reactive maintenance on the network to ensure optimal function. 		
1.4.1	<p>Records relating to the operation and maintenance of the transport network including the facilitation of access to transport infrastructure and rail networks.</p> <p>Records include:</p> <ul style="list-style-type: none"> • Requests for and applications seeking rail network access, • the management of safety requirements, and • network capacity management planning/scheduling. 	<p>Temporary</p> <p>Destroy 7 years after action completed.</p>	<p>Hold in Agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>

TRANSPORT ASSET MANAGEMENT			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		Status	Custody
1.5.0	Rail Fleet Acquisition, Disposal and Leasing The acquisition and disposal of rail fleet vehicles including locomotives, carriages and trams.		
1.5.1	Records relating to the acquisition and disposal of rail fleet vehicles. Records include: <ul style="list-style-type: none"> • supply agreements, • escrow agreements, • delivery certificates, • certificate of acceptance, • request for transfer of rail fleet to third party, • sale or donation/transfer records. 	Temporary Destroy 7 years after vehicle is disposed of.	Hold in Agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
1.5.2	Records relating to the leasing of rail fleet vehicles to rail operators and/or third parties. Includes instances where vehicles are leased to third parties for a non-monetary return. For example, where heritage or community groups are leased a vehicle on condition that it is maintained or the lessor agency is acknowledged in some way. Records include supply agreements.	Temporary Destroy 7 years after agreement has expired.	Hold in Agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

TRANSPORT ASSET MANAGEMENT			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		Status	Custody
1.6.0	<p>Safety Accreditation Compliance</p> <p>Compliance with mandatory or optional accountability, fiscal, regulatory or quality standards or requirements in relation to safety accreditation.</p>		
1.6.1	<p>Records that document compliance with the accreditation requirements of rail safety legislation (e.g. <i>Rail Safety Act 2006</i>.)</p> <p>Records may include applications for accreditation and supporting documentation showing that the applicant has established and/or maintained a Safety Management System.</p>	<p>Temporary</p> <p>Destroy 7 years after accreditation expires or is revoked.</p>	<p>Hold in Agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>

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