



Australian Government



**NATIONAL
ARCHIVES
OF AUSTRALIA**

Records Authority

2013/00262490

**Department of Infrastructure
& Regional Development**

*Infrastructure Policy & Programs,
Transport Policy & Programs, Transport Regulation and
Transport Security Inquiries*

2013

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INTRODUCTION

The Department of Infrastructure and Regional Development and the National Archives of Australia have developed this Records Authority to set out the requirements for keeping or destroying records for the business areas of Infrastructure Policy & Programs, Transport Policy & Programs, Transport Regulation and Transport Security Inquiries. It represents a significant commitment on behalf of the Department to understand, create and manage the records of its activities.

This Authority is based on the identification and analysis of the business of the Department of Infrastructure and Regional Development. It takes into account the agency's legal and organisational records management requirements, and the interests of stakeholders, the agency and the National Archives of Australia.

The Authority sets out those records that need to be retained as national archives and specifies the minimum length of time that temporary records need to be kept. This Authority gives the Department of Infrastructure and Regional Development permission under the *Archives Act 1983*, for the destruction of the temporary records described after the minimum retention period has expired. Retention periods for these temporary records are based on: an assessment of business needs; broader organisational accountability requirements; and community expectations, and are approved by the National Archives of Australia on the basis of information provided by the agency.

As changes in circumstances may affect future records management requirements, the periodic review of this Authority is recommended. All amendments must be approved by the National Archives.

APPLICATION OF THIS AUTHORITY

1. This Authority replaces the following classes in Records Authority 2004/00616220 issued to the Department of Transport and Regional Services in 2005: 9417-9544, 9575-9576, 9581-9583, 9590, 9594-9596, 9610, 9611 and 9623-9703, excluding class 9630. These classes have been superseded and cannot be applied to further records after the issue of this authority.

This authority partially supersedes the following classes in Records Authority 2004/00616220 issued to the Department of Transport and Regional Services in 2005: 9545-9572, 9577-9580, 9584-9589, 9591-9593 and 9597-9608. These classes cannot be used for Department of Infrastructure and Regional Development records after the date of issue of this Authority.

Where retention periods have increased, records previously identified for destruction will need to be kept until the revised minimum retention period is reached.

2. This Authority is to be used to determine how long records must be kept. Records are matched to the relevant core business and records class in the Authority.
 - Where the minimum retention period has expired and the records are not needed for agency business they should be destroyed as authorised in this Authority.
 - Records that have not reached the minimum retention period must be kept until they do.
 - Records that are identified as Retain as National Archives (RNA) are to be transferred to the National Archives of Australia for preservation.
3. This Authority should be used in conjunction with general records authorities such as:
 - the Administrative Functions Disposal Authority (AFDA) and/or AFDA Express issued by the National Archives to cover business processes and records common to Australian Government agencies;
 - General Records Authority (31) For source (including original) records that have been copied, converted or migrated.
4. The Normal Administrative Practice (NAP) provision of the *Archives Act 1983* gives agencies permission to destroy certain records without formal authorisation. This usually occurs where records are duplicated, facilitative or for short-term use only. NAP does not replace arrangements agreed to in this Authority but can be used as a tool to assist in identifying records for destruction together with an agency's Records Authority or Authorities, and with AFDA and AFDA Express. The National Archives recommends that agencies develop and implement a Normal Administrative Practice policy. Advice and guidance on destroying records as a normal administrative practice and on how to develop an agency NAP policy is available from the National Archives' website at www.naa.gov.au.

5. Records that are reasonably likely to be needed as evidence in a current or future judicial proceeding or are subject to a request for access under the *Archives Act 1983*, the *Freedom of Information Act 1982* or any other relevant Act must not be destroyed until the action has been completed.
6. Records subject to a disposal freeze must not be destroyed until the freeze has been lifted. Further information about disposal freezes and whether they affect the application of this Authority is available from the National Archives website at www.naa.gov.au.
7. Where the method of recording information changes (for example from a manual system to an electronic system, or when information is migrated from one system to a new system) this Authority can still be applied, providing the records document the same core business. The information must be accessible for the period of time prescribed in this Authority. The Department of Infrastructure and Regional Development will need to maintain continuing access to the information, including digital information, for the periods prescribed in this records authority or until the information is transferred into the custody of the National Archives.
8. In general, retention requirements indicate a minimum period for retention. The Department of Infrastructure and Regional Development may extend minimum retention periods if it considers that there is an administrative need to do so, without further reference to the National Archives. Where the Department of Infrastructure and Regional Development believes that its accountability will be substantially compromised because a retention period or periods are not adequate, it should contact the National Archives for review of the retention period.
9. Records coming within 'Retain as national archives' classes in this Authority have been determined to be part of the archival resources of the Commonwealth under Section 3C of the *Archives Act 1983*. The determination of Commonwealth records as archival resources of the Commonwealth obliges agencies to transfer the records to the Archives when they cease to be current and, in any event, within 15 years of the records coming into existence, under Section 27 of the *Archives Act 1983*.
10. Records in the care of agencies should be appropriately stored, managed and preserved. Agencies need to meet this obligation to ensure that the records remain authentic and accessible over time. Under Section 31 of the *Archives Act 1983*, access arrangements are required for records that become available for public access including those records that remain in agency custody.
11. Appropriate arrangements should be made with the National Archives when records are to be transferred into custody. The National Archives accepts for transfer only those records designated as national archives.
12. Advice on how to use this Authority is available from the Department of Infrastructure and Regional Development records manager. If there are problems with the application of the Authority that cannot be resolved, please contact the National Archives.

CONTACT INFORMATION

For assistance with this authority or for advice on other records management matters, please contact the National Archives' Agency Service Centre.

Queen Victoria Terrace
Parkes ACT 2600
PO Box 7425
Canberra Business Centre ACT 2610

Tel: (02) 6212 3610
Fax: (02) 6212 3989
Email: recordkeeping@naa.gov.au
Website: www.naa.gov.au

AUTHORISATION

RECORDS AUTHORITY 2013/00262490

Person to whom notice of authorisation is given:

Mr Mike Mrdak
Secretary
Department of Infrastructure and Regional
Development
111 Alinga Street
Canberra, ACT, 2601

Purpose:

Authorises arrangements for the disposal of records in accordance with Section 24(2)(b) of the *Archives Act 1983*

Determines records classed as 'Retain as national archives' in this Records Authority to be part of the archival resources of the Commonwealth under Section 3C of the *Archives Act 1983*.

Application:

All core business records relating to Infrastructure Policy & Programs, Transport Policy & Programs, Transport Regulation and Transport Security Inquiries

This authority gives permission for the destruction, retention or transfer to the National Archives of Australia of the records described. This authority will apply only with the consent of the agency currently responsible for the business documented in the records described.

Authorised by:

Len Marsden
Acting Director-General
National Archives of Australia

Date of issue:

20 December 2013

INFRASTRUCTURE POLICY & PROGRAMS

The core business of providing improved infrastructure across Australia through investment in and co-ordination of transport and other infrastructure. Includes strategies, initiatives, frameworks, policies and programs, including funding developed and delivered in partnership with other Commonwealth agencies, State and Territory governments, and with the private, non-government sectors.

The **core activities** include:

- developing, implementing and reviewing national policy and guidelines;
- establishing frameworks for infrastructure programs, schemes and initiatives;
- developing and administering programs, schemes, initiatives and associated projects;
- reviewing and evaluating the effectiveness, performance and quality of programs, schemes and initiatives;
- determining and allocating grants, funds and other financial assistance to eligible recipients;
- conducting research;
- managing collections of statistical data;
- developing, implementing and reviewing industry standards;
- providing and receiving advice and briefings;
- managing and participating in committees, conferences, forums and working groups;
- preparing plans and reports;
- negotiating and establishing agreements;
- developing information products and guidance materials to educate and promote awareness; and
- awarding prizes and honours.

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

- developing, implementing and reviewing internal operating policies, procedures and guidelines;
- receiving and responding to routine enquiries; and
- preparing and delivering speeches.

Cross references to AFDA Express records authority

For ceremonies and events held for the purposes of conferring infrastructure awards promoted by the agency, media releases and interviews, use COMMUNITY RELATIONS.

For records relating to the payment of fees associated with memberships to committees, meetings and other forums, use FINANCIAL MANAGEMENT.

For the development and provision of submissions to local governments relating to planning proposals, and participation into inquiries conducted by external agencies, use GOVERNMENT RELATIONS.

For tendering and contracting activities associated with the procurement of external service providers such as those providing commissioned research, use PROCUREMENT.

For records relating to the management of Commonwealth land (other than leased airports), such as Badgers Creek, use PROPERTY MANAGEMENT.

For records relating to the development and review of legislation administered by the agency, use STRATEGIC MANAGEMENT.

Cross references to other records authorities

For advisory bodies, such as the Infrastructure Finance Working Groups (IFWG), use ADVISORY BODIES.

For the establishment and management of corporate entities set up to manage and/or administer schemes, use ESTABLISHING & MANAGING ENTITIES.

INFRASTRUCTURE POLICY & PROGRAMS

Class no	Description of records	Disposal action
61407	<p>Records documenting:</p> <ul style="list-style-type: none"> • development, implementation and review of <u>national policy and guidelines</u>, including milestone documentation released for public comment, such as background papers, issues papers, discussion papers, white papers and stakeholder submissions and results of consultations and surveys; • establishment of <u>high-level frameworks</u> for programs, schemes and initiatives. Includes Ministerial directions, proposals and business cases, final versions of high-level plans and strategies, policies, criteria, conditions, guidelines and implementation plans, results of industry and stakeholder consultations, and records relating to the determination of funding allocations for each program, scheme and/or initiative; • <u>administration of programs</u>, schemes and initiatives which are complex, controversial and subject to intense external scrutiny. Includes the determination and allocation of funding to eligible funding recipients (where applicable), liaison and correspondence with stakeholders, project progress reports, funding reports, status reports and project evaluation reports; • final versions of <u>reports which evaluate and review</u> the effectiveness, performance and quality of programs, schemes and initiatives, includes final versions of supporting research reports, and results of stakeholder consultations; • <u>summary records</u> of all funding applications, proposals, submissions and funding decisions (both successful and unsuccessful); • final <u>research reports</u> and supporting documentation which provide significant research and statistics. Includes terms of reference, discussion papers, issues papers and working papers released for public comment, submissions and results of stakeholder consultations, collections of statistical data which inform formal statistical or research reports and/or policy development and community understanding in relation to infrastructure policy and programs; • development and review of <u>industry standards</u>, including terms of reference, final versions of supporting research reports, draft standards released for comment, results of stakeholder workshops and consultations, and final standards; • high-level <u>advice</u> and briefings to or from the Minister, heads of government agencies, or senior management; • development of high-level <u>plans and reports</u> provided to the Minister, heads of government agencies, or senior management which are controversial, subject to government level or media scrutiny, or which have far reaching implications for infrastructure in Australia. Includes terms of reference, drafts, background papers, issues papers, stakeholder submissions and results of stakeholder consultations, final versions of plans and reports, including final research reports and associated approvals; • high-level <u>agreements</u> such as bilateral agreements with states and territories, intergovernmental agreements, inter-agency and international memoranda of understanding, agreements which establish significant financial assistance, long term block funding arrangements or joint venture arrangements; • high-level <u>committees</u>, forums and working groups set up to discuss and/or determine policy and strategic infrastructure investment matters where the agency provides the secretariat, or plays a significant role; 	Retain as national archives

INFRASTRUCTURE POLICY & PROGRAMS

Class no	Description of records	Disposal action
61407 (cont)	<ul style="list-style-type: none"> • final versions of <u>speeches</u> made by the Minister or senior agency officers, at major public events, conferences, workshops, seminars or other forums; • successful nominations for <u>awards</u> and prizes which formally acknowledge the contributions of organisations and individuals in responding to infrastructure opportunities, challenges or other significant issues, eg the <i>Australian Smart Infrastructure Award</i>; and • final versions of proceedings of <u>conferences</u> hosted by the agency. 	
61408	Collections of <u>statistical data</u> which do not inform formal statistical reports, policy development or community understanding in relation to infrastructure policy and programs.	Destroy 40 years after action completed
61410	Records documenting: <ul style="list-style-type: none"> • administrative <u>arrangements</u> for committees, meetings and working groups, speeches, conferences, forums or other events. Includes notices, invitations, venue and facility bookings, catering arrangements, liaison with organisers, timetables and schedules, programs and attendance registration; • receiving and responding to <u>enquiries</u> which require a standard/routine response; • final versions of <u>internal operational policies and procedures</u> supporting the infrastructure policy and programs core business; and • <u>data requests</u> and <u>returns</u>. 	Destroy 2 years after action completed
61411	Records documenting: <ul style="list-style-type: none"> • routine operational administrative tasks supporting the core business; and • infrastructure policy and program activities, other than those covered in classes 61407 to 61410. 	Destroy 7 years after action completed

TRANSPORT POLICY & PROGRAMS

The core business of establishing, coordinating and implementing whole-of-government reform initiatives, regulatory frameworks and high-level policies and programs for surface, road, maritime and aviation transport, such as those designed to identify, measure and reduce the impact of the Australian transport sector on the environment, and those developed to improve transport safety and security. Includes partnerships with other Commonwealth agencies, State, Territory and international governments and bodies, and with the private, non-government sectors.

The **core activities** include:

- developing, implementing and reviewing national policy and guidelines;
- establishing frameworks for transport programs, schemes and initiatives;
- developing and administering programs, schemes, initiatives and associated projects;
- reviewing and evaluating the effectiveness, performance and quality of programs, schemes and initiatives;
- determining and allocating funding to eligible recipients;
- conducting research;
- managing collections of statistical data;
- developing, implementing and reviewing industry rules and standards;
- preparing and issuing special security directions;
- providing and receiving advice and briefings;
- managing and participating in committees, conferences, forums and working groups;
- preparing plans and reports;
- negotiating and establishing agreements; and
- developing information products and guidance materials to educate and promote awareness.

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

- developing, implementing and reviewing internal operating policies, procedures and guidelines;
- receiving and responding to routine enquiries; and
- preparing and delivering speeches.

Cross references to other areas of this records authority

For investment in and co-ordination of transport and other infrastructure, use INFRASTRUCTURE POLICY & PROGRAMS.

For the implementation of regulatory action, including compliance monitoring and enforcement activities associated with transport policies and programs, use TRANSPORT REGULATION.

For procedures, guidelines, guidance notes and information materials prepared to assist compliance with regulatory schemes, programs and initiatives, and which do not form part of the high level frameworks, use TRANSPORT REGULATION.

For the conduct of transport security inquiries by the agency, use TRANSPORT SECURITY INQUIRIES.

Cross references to AFDA Express records authority

For ceremonies and events held for the purposes of conferring industry awards promoted by the agency, media releases and interviews, use COMMUNITY RELATIONS.

For records relating to the payment of fees associated with memberships to committees, meetings and other forums, use FINANCIAL MANAGEMENT.

TRANSPORT POLICY & PROGRAMS

For the development and provision of submissions to local governments relating to planning proposals and participation into inquiries conducted by external agencies such as the Productivity Commission, use GOVERNMENT RELATIONS.

For contracting external service providers such as those providing commissioned research, use PROCUREMENT.

For records relating to the management of Commonwealth land (other than leased airports), such as Badgerys Creek, use PROPERTY MANAGEMENT.

For records relating to the development and review of legislation administered by the agency, use STRATEGIC MANAGEMENT.

Cross references to other records authorities

For advisory bodies, such as the Infrastructure Finance Working Group (IFWG), use ADVISORY BODIES.

For the establishment and management of corporate entities set up to manage and/or administer schemes, use ESTABLISHING & MANAGING ENTITIES.

Class no	Description of records	Disposal action
61412	<p>Records documenting:</p> <ul style="list-style-type: none"> • development and review of <u>national policy</u> and guidelines, including milestone documentation released for public comment, such as background papers, issues papers, discussion papers, white papers, stakeholder submissions, and results of meetings, consultations and surveys; • establishment of high-level <u>frameworks</u> for programs, schemes and initiatives. Includes Ministerial directions, proposals and business cases, final versions of high level plans and strategies, policies, criteria, conditions, guidelines and implementation plans, results of consultations with industry and stakeholders, and records relating to the determination of funding allocations for each program, scheme and/or initiative; • <u>administration of programs</u>, schemes, and initiatives which are complex, controversial and subject to intense external scrutiny. Includes the determination and allocation of funding to eligible funding recipients (where applicable), liaison and correspondence with stakeholders, project progress reports, funding reports, status reports and project evaluation reports; • final versions of <u>reports which evaluate and review</u> the effectiveness, performance and quality of programs, schemes and initiatives, includes final versions of supporting research reports, and results of stakeholder consultations; • <u>summary records</u> of all funding applications, proposals, submissions and funding decisions (both successful and unsuccessful); • final <u>research reports</u> and supporting documentation which provide significant research and statistics. Includes terms of reference, discussion papers, issues papers and working papers released for public comment, submissions and results of stakeholder consultations, and collections of statistical data which inform formal statistical or research reports and or policy development and community understanding in relation to transport policy and programs; • development and review of <u>industry rules and standards</u>, including terms of reference, issues papers, final versions of supporting research reports, draft standards released for comment, stakeholder submissions and results of test programs, stakeholder workshops and consultations, and final standards; 	Retain as national archives

TRANSPORT POLICY & PROGRAMS

Class no	Description of records	Disposal action
61412 (cont)	<ul style="list-style-type: none"> • <u>special security directions</u> prepared and issued in response to an identified security threat; • high-level <u>advice</u> and briefings to or from the Minister, heads of government agencies, or senior management; • development of high level <u>plans</u> and <u>reports</u> provided to the Minister, heads of government agencies, or senior management which are controversial, subject to government level or media scrutiny, or which have far reaching implications for transport policy and programs in Australia. Includes terms of reference, drafts, background papers, issues papers, stakeholder submissions and results of stakeholder consultations, final versions of plans and reports, including final research reports and associated approvals; • high-level <u>agreements</u> such as bilateral agreements with states and territories, intergovernmental agreements, inter-agency memoranda of understanding, agreements which establish significant financial assistance, long term block funding arrangements or joint venture arrangements; • high-level <u>committees</u>, forums and working groups set up to discuss and/or determine policy and strategic transport investment, safety or security matters where the agency provides the secretariat, or plays a significant role; • final versions of <u>speeches</u> made by the Minister or senior agency officers, at major public events, conferences, workshops, seminars or other forums; and • final versions of proceedings of <u>conferences</u> hosted by the agency. 	
61413	Collections of <u>statistical data</u> which do not inform formal statistical reports, policy development or community understanding in relation to transport policy and programs;	Destroy 40 years after action completed
61415	<p>Records documenting:</p> <ul style="list-style-type: none"> • administrative <u>arrangements</u> for committees, meetings and working groups, speeches and presentations, conferences, forums or other events. Includes notices, invitations, venue and facility bookings, catering arrangements, liaison with organisers, timetables and schedules, programs, attendance registration; • receiving and responding to <u>enquiries</u> which require a standard/routine response; • <u>data requests</u> and returns. 	Destroy 2 years after action completed
61416	<p>Records documenting:</p> <ul style="list-style-type: none"> • routine operational administrative tasks supporting the core business; and • transport policy and program activities, other than those covered in classes 61412 to 61415. 	Destroy 7 years after action completed

TRANSPORT REGULATION

The core business of regulating transport industry operators and services across the areas of transport safety, vehicle importation, transport security, civil aviation and airports, maritime transport including shipping, and land transport including heavy vehicles and rail. Involves a range of regulatory activities including the conduct of inspections, airport lessee management, environmental compliance monitoring, including pollution and noise management, aircraft slot management, transport industry operator and facility licensing, registration and approvals.

The **core activities** include:

- compliance monitoring, reporting and enforcement, including carrying out audits and inspections;
- managing appeals;
- airport sale and lessee management;
- managing vehicle recalls, including safety investigations;
- processing licences, permits, registrations and regulatory approvals;
- reporting aviation and maritime security incidents;
- developing procedures and guidelines;
- developing and maintaining registers;
- managing collections of statistical data;
- providing and receiving advice and briefings;
- preparing reports; and;
- developing information products, training and guidance materials to educate and promote awareness.

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

- managing arrangements for audits, inspections and other compliance monitoring and enforcement activities;
- managing committees, meetings, working groups, forums and other events;
- developing and reviewing internal operating policies and procedures and guidelines; and
- receiving and responding to routine enquiries.

Cross references to other areas of this records authority

For the establishment and/or review of regulatory programs, schemes and initiatives, including high level plans and strategies, policies, procedures, guidelines which outline regulatory responsibilities, use TRANSPORT POLICY & PROGRAMS.

For producing research reports supporting the development of transport or infrastructure policy and programs, and for collections of statistical data which inform research and formal statistical reports use TRANSPORT POLICY & PROGRAMS & INFRASTRUCTURE POLICY & PROGRAMS.

For the establishment of agreements with issuing bodies, or other government departments and agencies to administer regulatory programs, schemes and initiatives, use TRANSPORT POLICY & PROGRAMS.

For the development of standards, such as the Australian Design Rules (ADRs), use TRANSPORT POLICY & PROGRAMS.

Cross references to AFDA Express records authority

For media releases and interviews, use COMMUNITY RELATIONS.

For records relating to compensation for damaged electronic equipment, or unnecessary delays as a result of compliance monitoring activities, use COMPENSATION.

For records relating to the payment of fees, fines or other monies associated with regulated activities, use FINANCIAL MANAGEMENT.

TRANSPORT REGULATION

For the agency's annual reporting requirements and participation in formal inquiries into its activities, use GOVERNMENT RELATIONS.

For records relating to the recruitment of officers, inspectors or controllers for the purposes of carrying out regulatory compliance monitoring and enforcement activities on behalf of the agency, use PERSONNEL.

For managing the acquisition of goods and services, or for tendering and contracting arrangements, use PROCUREMENT.

For records relating to the management of Commonwealth land (other than leased airports), such as Badgerys Creek use PROPERTY MANAGEMENT.

For records relating to the development and review of legislation administered by the agency, use STRATEGIC MANAGEMENT.

Cross references to other records authorities

For the establishment and management of corporate entities set up to manage and/or administer schemes, use ESTABLISHING & MANAGING ENTITIES.

Class no	Description of records	Disposal action
61417	<p>Records documenting:</p> <ul style="list-style-type: none"> • high-level <u>advice</u>, briefings or reports to or from the Minister, heads of government agencies, or other senior management; • compliance monitoring, reporting and enforcement activities of serious or controversial cases of non-compliance, such as those that attract parliamentary or media attention, or result in substantial changes to agency policy and processes; • <u>appeals</u> against decisions that are considered significant, controversial, where precedents are set, or which attract significant public interest or media attention. Includes appeals to higher authorities, such as the Federal Court; • processing of <u>approvals, declarations and determinations</u> and supporting records that are considered to be of national interest, subject to intense public debate, or media or government-level scrutiny, such as <u>approval of airport Master Plans, Major Development Plans</u> and environment strategies for leased federal airports. Includes results of public consultations, reports and papers released for public comment, declarations and determinations, Ministerial approvals and/or refusals, and subsequent revocations; • high-level <u>committees</u>, forums and working groups set up to monitor and assess transport regulatory matters where the agency provides the secretariat, or plays a significant role; • final versions of high level <u>guidelines</u> and <u>procedures</u> approved by the Minister, and which do not form part of high level frameworks for regulatory programs, schemes and initiatives; and • <u>sale of airports</u>, including sale negotiations, agreements and tripartite deeds. 	Retain as national archives
61418	Collections of <u>statistical data</u> which do not inform formal statistical reports, policy development or community understanding in relation to infrastructure and transport policy and programs.	Destroy 40 years after action completed
61419	Records documenting the processing of <u>vehicle import approvals and certifications</u> (Identification Plate Approvals) for non special purpose heavy vehicles, such as trucks and buses.	Destroy 30 years after action completed

TRANSPORT REGULATION

Class no	Description of records	Disposal action
61420	<p>Records documenting:</p> <ul style="list-style-type: none"> • establishment and ongoing management of <u>airport leases</u>, including lease agreements and transfer of rights instruments, ex gratia land tax deeds, and ongoing liaison with airport lessee companies on airport regulation and lease management; • <u>registers</u> of licences, permits, certificates, or other approvals granted to transport industry operators and facilities, such as the Register of Automotive Workshops (RAWS), Register of Specialist and Enthusiast Vehicles and Register of Available Capacity and register of Cargo Agents; • processing of <u>vehicle import approvals and certifications</u> (Identification Plate Approvals) for special purpose vehicles, such as cranes, mobile drilling rigs, street sweepers and garbage trucks; and • <u>compliance monitoring, reporting and enforcement</u> activities, which are not considered serious or controversial cases of non-compliance, and which do not result in substantial changes to agency policy and processes. <p><i>For compliance monitoring activities which result in significant investigation and enforcement action, and which result in substantial changes to agency policy and processes use class 61417</i></p> <p><i>For routine compliance monitoring activities which do not result in enforcement action use class 61424</i></p>	Destroy 20 years after action completed
61421	Records documenting the management and investigation of <u>vehicle recalls</u> . Includes defect notifications, safety investigations, liaison with manufacturers, requests to initiate recalls, and advice, reports and notifications on progress and/or the status of recall campaigns.	Destroy 15 years after action completed
61422	Records documenting the processing of <u>vehicle import approvals and certifications</u> (Identification Plate Approvals) for light vehicles, such as cars.	Destroy 10 years after action completed
61423	Records documenting: <ul style="list-style-type: none"> • administrative <u>arrangements</u> for committees, meetings and working groups, speeches, conferences, forums or other events. Includes notices, invitations, venue and facility bookings, catering arrangements, liaison with organisers, timetables and schedules, programs, attendance registration; • <u>data requests</u> and returns. 	Destroy 2 years after action completed
61424	Records documenting: <ul style="list-style-type: none"> • routine operational administrative tasks supporting the core business; and • transport regulation activities, other than those covered in classes 61417 to 61423. 	Destroy 7 years after action completed

TRANSPORT SECURITY INQUIRIES

The core business of conducting independent inquiries into and reporting on major transport security or offshore transport security incidents by the Inspector of Transport Security at the direction of the Minister, including serious breaches of regulatory obligations by regulated parties, transport security related incidents leading to death or a major event, or series of incidents that point to a systematic failure of road, rail, aviation or maritime transport security regulation systems, or security regulated offshore facilities. Includes national threat and risk assessment inquiries, liaising with stakeholders, conducting research, site visits and preparation of reports, recommendations, options and guidelines.

The **core activities** include:

- receiving ministerial directives and terms of reference for inquiries;
- delegating powers and functions to inquiry staff, or other persons assisting with an inquiry, including issuing certificates;
- gathering and analysing intelligence to support inquiries including requests for and receipt of, advice, reports and information, including restricted information, conducting site visits, liaison, meetings and interviews with stakeholders;
- establishing security, custody, access and use procedures for information provided or received in the conduct of an inquiry;
- managing the disclosure of protected or restricted information including the referral of information or matters to other bodies;
- reporting outcomes of inquiries, including the management of submissions and stakeholder consultations as part of the inquiry report development process; and
- providing and receiving advice and briefings in relation to inquiries, including the development of advisory guidelines.

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

- managing the inquiry process, such as arrangements for site visits and assessments, meetings and/or interviews; and
- receiving and responding to routine enquiries.

Cross references to other areas of this records authority

For the establishment and management of transport security policies, programs, schemes and initiatives, use TRANSPORT POLICY & PROGRAMS.

For the implementation of regulatory action, including compliance monitoring and enforcement activities associated with transport security policies and programs, use TRANSPORT REGULATION.

Cross references to AFDA Express records authority

For media releases and interviews, use COMMUNITY RELATIONS.

For the payment of compensation for damage to property as a result of actions of the agency, use COMPENSATION.

For the agency's annual reporting requirements, use GOVERNMENT RELATIONS.

For the issuing and management of security cards/passes for the purposes of entering and/or searching premises as part of the inquiry process, use PERSONNEL.

For managing the acquisition of goods and services, or for tendering and contracting arrangements, including contracts for expert panels, use PROCUREMENT.

Cross references to other records authorities

For the appointment of statutory appointees, use ESTABLISHING & MANAGING ENTITIES.

TRANSPORT SECURITY INQUIRIES

Class no	Description of records	Disposal action
61425	<p>Records documenting:</p> <ul style="list-style-type: none">• <u>ministerial directives</u>, <u>terms of reference</u>, <u>briefings</u>, <u>guidelines</u>, inquiry advice, including ministerial revocations of directives where a matter no longer demonstrates a transport security issue and the inquiry is concluded.• <u>delegations of powers and functions</u> conferred to the Inspector of Transport Security by the Commonwealth and state and territories, and delegations of powers and functions to inquiry staff by the Inspector of Transport Security. Includes certificates issued by the Inspector of Transport Security in relation to exercised legislated powers;• draft, interim or final <u>reports</u> (or sections of reports) of outcomes, progress or reviews of inquiries, including national threat and risk assessment inquiries for security regulated offshore facilities;• <u>intelligence gathering</u> including findings and reports from site visits and assessments, stakeholder consultations, submissions, liaison, interviews and associated distribution lists. Includes advice and supporting intelligence information and materials gathered for the inquiry process and requests for consent to enter and search premises and vehicles; and• referral of information or matters to other bodies and applications for orders associated with the <u>disclosure of protected or restricted information</u>, such as on-board recording information. Includes accompanying statements, terms and conditions and notifications of outcomes.	Retain as national archives
61426	<p>Records documenting:</p> <ul style="list-style-type: none">• routine operational administrative tasks supporting the core business; and• transport security inquiries activities, other than those covered in class 61425.	Destroy 7 years after action completed