1.   Purpose of the policy

Transport is committed to implementing and maintaining efficient, effective, and compliant records management systems and practices that support business processes and decisions, and comply with the *State Records Act 1998*, associated Standards and Regulations, and are consistent with Australian Standard ISO 15489 Information and documentation - Records management.

This policy sets out the principles and requirements that apply during the creation, maintenance, storage, and disposal of records by and/or on behalf of Transport.

2.   Who does it apply to?

This policy applies to permanent, temporary, and casual staff, staff seconded from another organisation, and contingent workers including labour hire, professional services contractors, and consultants performing work for any of the following agencies (*the Transport agencies*):

Department of Transport	YES
Transport for NSW	YES
NSW Trains	YES
Sydney Trains	YES
Sydney Metro	YES
State Transit	YES
Sydney Ferries	YES
The Point to Point Transport Commissioner	YES
Transport Asset Manager of NSW	YES

3.   Principles and requirements

3.1   Principles

- Transport agencies take responsibility for records and information management.
  - Responsibilities and accountabilities will be defined so that all staff are informed of their role in the ongoing creation and management of Transport records and information.

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- Records and information management support business operations and activities.

  o Transport agencies will take a planned approach to records and information management that supports operations by ensuring the creation, maintenance, usability, and sustainability of records and information.

  o Transport agencies will ensure that systems containing information and records will be designed and/or assessed to ensure good recordkeeping considerations are addressed, including storing records for as long as required before disposing or transferring them to State Archives as required.

- Records and information are well-managed.

  o Transport agencies will ensure that all records and information irrespective of format are effectively managed across systems/technology, to ensure ongoing accessibility for as long as required for business use and as per the relevant disposal authority.

3.2   Requirements

- All staff are responsible for **creating, capturing, and managing** records in approved records management systems to meet the requirements of the *State Records Act 1998*.

- Transport agencies will identify and document **high-risk and/or high-value records, information, and data** in an approved information asset register to minimise the risks relating to managing information.

- Transport agencies will ensure **access** to records, information, and data is managed following legal and business requirements to minimise risks associated with unauthorised access or disclosure.

- **Security** protocols and functionality including but not limited to access management and cyber security will be applied across all systems and environments to ensure records and information are safeguarded for as long as they are required.

- **Information labelling** will be applied as outlined in the Transport Information Labelling and Handling Guidelines to support secure and appropriate access and storage of records, information, and data.

- **Systems** that create and capture records, information, and data wherever possible must be designed for whole lifecycle management.

- Record, information, and/or data **migration or transfer** from one system to another, must be documented by the Business or Project Owners and include all steps taken, risks, and quality assurance post migration or transfer.

- Transport agencies must ensure that **service providers** manage all records related to the business they are engaged to perform, as outlined within the

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contractual arrangements aligned with Transport records management requirements.

- Transport agencies must ensure that;
  - before records/information or data are transferred or stored outside NSW, a risk assessment is completed and actioned as per the *General Authority for transferring records out of NSW for storage with or maintenance by service providers based outside NSW (GA35)*.
  - contracts are in place that address records management requirements, including identification of record sets, and terms for return to Transport Agencies during and at completion of contracted services.

- Transport agencies will ensure records, information, and data are **retained** for as long as required and **disposed of** via approved methods once authorised in accordance with approved retention and disposal schedules.

- All Transport agencies will implement and maintain a 5 Year Transfer Plan, for identified **State Archive** items that will be transferred to the Museum of History.

- All Transport agencies must ensure that **incidents**, where records, information, and/or data are lost, damaged, or where they are no longer accessible or useable, are reported to the Information & Records Management Team.

- All Transport agencies will ensure that **Business Continuity Plans** (or equivalent) are in place across all business areas, and address records, information, and data requirements.

- Transport agencies will ensure the completion and submission of results from the annual **Records Management Asset Tool (RMAT)** compliance and improvement activity.

4. Compliance and breach

You are required to comply with this policy and its related procedures and standards. If you do not, this may result in disciplinary action up to and including termination of your employment or contract.

5. Accountabilities and responsibilities

Who	
Deputy Secretary, Chief People Officer, Group Chief Finance Officer, Chief Executives of the Transport agencies to which the policy applies	Accountable for ensuring program areas in their agencies align and comply with this policy

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Agency Senior Responsible Officer (SRO)	Working with the chief executive and/or senior management team to ensure compliance with the requirements of the State Records Act. Holds Corporate responsibility for the oversight of records and information management as per the Standard on Records Management.
Director Information and Records Management (TfNSW)	Accountable for ensuring this policy continues to align with Transport's strategic direction, and that guidance and controls are in place to help business areas measure and monitor compliance with this policy and any related documents.
Information and Records Management (I&RM) Team (TfNSW)	Responsible for providing support and guidance to Transport Agencies
All staff, Service Providers, Contractors and Consultants	Responsible for complying with • the requirements of the NSW State Records Act and associated Standards and/or guidelines, • the principles and requirements in this policy and any related procedures, standards, or guidelines as set down by Transport Agencies.

6.   Related/supporting material

- [Museum of History Act 2022](#)
- [NSW State Records Act 1998](#)
- [State Records Regulation 2024](#)
- [Government Information (Public Access) Act 2009 (GIPA Act)](#)
- [Privacy and Personal Information Protection Act 1998 (PPIP Act)](#)
- [Code of Best Practice AS ISO 15489 Information and documentation - Records management, Part 1: Concepts and principles](#)
- [General authority for transferring records out of NSW for storage with or maintenance by service providers based outside NSW (GA35)](#)
- [Records Management Assessment Tool](#)
- [Standard on Records Management](#)

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- [Standard on the physical storage of State records (Standard 13)](#)
- [Access to Information Policy](#)
- [Data Breach Policy](#)
- [Electronic Document Records Management Systems (EDRMS)](#)
- [Information Security Policy](#)
- [Information in the cloud - GA35 risk assessments](#)
- [Privacy Management Plan](#)
- [Records related incidents, reporting and management guideline](#)
- [Transport Cyber Security Incident Management Standard](#)
- [Transport Information Labelling and Handling Guidelines](#)
- [Transport Records Disposal Procedure](#)
- [Information & Records Management guidance documents](#)

7. Document control

7.1 Superseded documents

This Policy replaces the following document:

- Transport Records Management Policy CP14027.3

7.2 Document history

Date & Policy No	Document owner	Approved by	Amendment notes
25 November 2024 CP24010	Chief Information Officer, Corp IT Portfolio	Deputy Secretary, Finance, Technology & Commercial	Scheduled review and update to align to with changes to legislation.

7.3 Feedback and help

For advice on interpreting or applying this document, please contact RecordsManagementServices@transport.nsw.gov.au.

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