

State Records Authority of New South Wales

Functional Retention and Disposal Authority: FA379

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

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.

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Functional Retention and Disposal Authority

Authority no FA379

SR file no 16/0425

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

Public office Public Works

Approval date

Geoff Hinchcliffe
Director
State Records Authority of New South Wales

25/08/2016
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
PO Box 516
Kingswood NSW 2747

Telephone: (02) 9673 1788
E-mail: govrec@records.nsw.gov.au

Functional Retention and Disposal Authority
Building infrastructure, construction and maintenance

Authority number: FA379

Dates of coverage: Open

List of Functions and Activities covered

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No	Function/Activity	Description	Disposal Action
1.0.0	PUBLIC WORKS	<p>The function of managing building infrastructure, construction and maintenance programs and projects. Includes: program management (managing multiple projects over a specified period for a client); project management of major capital works, minor capital works and heritage conservation projects; also contract management and administration in relation to projects.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> GOVERNMENT RELATIONS - Advice for records relating to advice to government on building design and management and water infrastructure.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> PERSONNEL AND COMPENSATION for records relating to managing the residual rights of the employees of the former Government Cleaning Services (GCS).</p>	
1.1.0	Business development	<p>The activity of developing fee for service offerings for clients.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Celebrations, ceremonies, functions for records relating to submissions nominating for industry and government awards.</p>	
1.1.1		<p>Records relating to the development of business service offerings for clients. Includes records relating to:</p> <ul style="list-style-type: none"> • negotiations with clients to be on their list of suppliers • proposals by the organisation to undertake services for a fee • marketing of the organisation's services • research to identify prospective clients. 	Retain minimum of 5 years after action completed, then destroy
1.2.0	Emergency management	The activity of planning and responding to emergency situations.	
1.2.1		Records relating to the provision of engineering services and advice in emergency	Required as State

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No	Function/Activity	Description	Disposal Action
<i>PUBLIC WORKS - Emergency management</i>			
		situations where the incident: <ul style="list-style-type: none"> • is declared a state emergency or natural disaster, or • involves the loss of life or extensive damage to multiple properties. Includes incident notices, correspondence, reports, etc.	archives
1.2.2		Records relating to the provision of engineering services and advice in emergency situations that: <ul style="list-style-type: none"> • are not declared a state emergency or natural disaster • do not involve the loss of life or extensive damage to multiple properties. Includes incident notices, correspondence, site visits, etc.	Retain minimum of 10 years after action completed, then destroy
1.2.3		Records relating to planning for emergency response. Includes draft and final plans, approvals, etc.	Retain minimum of 10 years after superseded, then destroy
1.2.4		Responses and comments on plans coordinated by other agencies. Includes plans, correspondence and submissions.	Retain minimum of 10 years after action completed, then destroy
1.2.5		Training to support engineering response to emergencies. Includes records of training materials and exercises.	Retain minimum of 7 years after action completed, then destroy
1.2.6		Agreements made between agencies (State, local government and inter-jurisdictional agencies) to ensure coordination in planning, delivering services and meeting emergencies and policies and procedures to cover the response to	Required as State archives

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No	Function/Activity	Description	Disposal Action
<i>PUBLIC WORKS - Natural disaster relief</i>			
		emergencies.	
1.3.0	Natural disaster relief	The activity of administering financial assistance claims for restoration works related to declared natural disasters.	
1.3.1		Records relating to the management of claims. Includes evaluations, correspondence, site visit notes, approvals, financial records and reports.	Retain minimum of 7 years after end of financial year in which claim was settled, then destroy
1.3.2		Records relating to notifications of natural disasters. Includes copy of declaration, briefing notes, evaluations, correspondence, reports.	Retain minimum of 10 years after action completed, then destroy
1.3.3		Records relating to the development and review of processes and procedures for administering disaster relief and recovery financial assistance claims. Includes procedural and process documents, checklists, etc.	Retain minimum of 10 years after superseded, then destroy
1.4.0	Facilities contract management	The activity of developing and awarding building services and facilities management contracts for clients. Includes contracts for engineering services, fire services, cleaning, asset maintenance, building services equipment maintenance and security. See General Retention and Disposal Authority <i>Administrative records</i> TENDERING for records relating to successful and unsuccessful tenders, contracts and summary records.	
1.4.1		Records relating to arranging, procuring and managing the work of external contractors, consultants, bureau services, etc. on behalf of clients. Includes	Retain minimum of 12 years after

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No	Function/Activity	Description	Disposal Action
<i>PUBLIC WORKS - Facilities contract management</i>			
		preliminary analysis, contracts, payments, reviews, cost analyses, briefs, proposals.	expiry or termination of agreement or minimum of 12 years after action completed, whichever is longer, then destroy
1.4.2		Records relating to the receipt and release of contractor bank guarantees, bonds or securities.	Retain until matter completed, then return to applicant or bank
1.5.0	Manage programs and projects	<p>The activity of managing building infrastructure, construction and maintenance programs and projects. Includes design and documentation projects, asset management planning and advice, construction projects, investigating and reporting projects, maintenance and minor works projects, specialist procurement projects (e.g. assess contamination, water audits, maintain heritage register, provide heritage assessment, energy advice, environmental assessment, survey and spatial design, urban design, water infrastructure, water management and monitoring).</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> FINANCIAL MANAGEMENT - Accounting for project financial records.</p>	
1.5.1		<p>Records relating to the management of programs for clients and other stakeholders. Includes:</p> <ul style="list-style-type: none"> • client agreement, minutes of meetings and correspondence with client and consultants regarding the program commencement • receipt of initial advice from the client, forward planning, program briefs, cost and forward estimates, fee proposals and calculations, budget approval 	Retain minimum of 12 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>PUBLIC WORKS - Manage programs and projects</i>			
		from Treasury and client <ul style="list-style-type: none"> • preparation and drafting of routine and one off reports to clients, progress reports, cash flow advice • risk assessments of program and business, resourcing, photos, reports, surveys. 	
1.5.2		Summary records or data documenting details of projects such as name, type, location, client and project manager details. Includes key project data held in electronic systems such as PCMS and CPIS.	Retain minimum of 12 years after project completed, then destroy
1.5.3		Concept sketches, detailed design drawings/schematics and work as executed drawings for major projects prepared by the organisation that are: <ul style="list-style-type: none"> • submitted for an award • promoted as a pre-eminent example of its design • identified as a precedent for future design projects • the work of an award winning architect or engineer • relate to the design/redesign of a heritage building/structure • relate to landmark structures (e.g. dam). 	Required as State archives
1.5.4		Key records relating to the design, construction, major renovation or restoration of property (including buildings, structures and environs) that is of significance due to the fact that it is: <ul style="list-style-type: none"> • a recipient of a prestigious State, national or international architectural or design award • an important local or regional landmark, such as a dam, or • heritage listed. 	Required as State archives

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No	Function/Activity	Description	Disposal Action
<i>PUBLIC WORKS - Manage programs and projects</i>			
		<p>Records may include:</p> <ul style="list-style-type: none"> • design competition submissions • archaeological and heritage assessments • dam safety reviews • plans/designs as approved and executed • specifications, photographs, drawings • archival recordings of demolition • records documenting structural changes made for installations, fit-outs and maintenance. <p>Note: See the <i>General retention and disposal authority: administrative records (PROPERTY MANAGEMENT)</i> for definitions of heritage listed properties.</p>	
1.5.5		<p>Records relating to the initiation and design of major works construction projects, and design, investigation and data capture projects. Includes:</p> <ul style="list-style-type: none"> • client advice, brief and fee proposal and approval • surveys, approvals and drawings • client specifications, program and resourcing, letter of award/engagement • reports • design brief and concepts • scope changes and variations • final designs, planning approval drawings and work as executed drawings. 	Retain minimum of 75 years after project completed, then destroy
1.5.6		<p>Records of project management activities and plans undertaken by the organisation. Includes:</p> <ul style="list-style-type: none"> • records relating to the management of stakeholders including 	Retain minimum of 75 years after project completed,

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<i>PUBLIC WORKS - Manage programs and projects</i>			
		<p>correspondence, minutes of meetings, reports etc</p> <ul style="list-style-type: none"> • records relating to the initiation of projects such as approvals, letters of award/engagement • project plans, risk management plans, procurement plans, scope management and deliverables, financial management plans (cost and revenue plans), communications plans and programs • records relating to the management of service providers, consultants, contractors and suppliers, such as tenders, contracts, correspondence, cost benefit analysis, reports, inspection certificates, reports and photos, tender and amended set of drawings, review of suppliers' environmental management, quality management and safety management plans, and performance reports • records relating to finalising projects including post-occupancy surveys, lessons learnt, post completion minutes, operation manuals, defects list, inspection certificates, hand over to client, post occupancy evaluation reports • records relating to finalising major works construction projects and design, investigation and data capture projects. Includes post-occupancy surveys, lessons learnt, post completion minutes, final job report, operation manuals, defects list, inspection certificates, hand over to client, post occupancy evaluation reports. 	then destroy
1.5.7		<p>Records relating to the management of consultants and contractors used on the project. Includes:</p> <ul style="list-style-type: none"> • briefs, proposals, specifications • variations, tender and amended set of drawings • requests for information (RFI), contracts • construction programs, financial checks 	Retain minimum of 75 years after project completed, then destroy

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<i>PUBLIC WORKS - Manage programs and projects</i>			
		<ul style="list-style-type: none"> • correspondence • minutes of meetings, reports, drawing register • instructions to contractor, feasibility studies, cost benefit analysis • environmental assessments, statements of environmental affects, arborist reports • condition reports, energy audits, inspection certificates • test certificates, pre-completion inspections, site inspection reports and photographs. 	
1.5.8		Records relating to the review of suppliers' environmental, Work Health and Safety and quality management plans for specific projects. Includes environmental, Work Health and Safety and quality management plans, reviews, audits and performance reports.	Retain minimum of 75 years after project completed, then destroy
1.5.9		<p>Records of specialist project deliverables such as:</p> <ul style="list-style-type: none"> • spatial and natural resources data sets relating to tides, waves, river levels, rainfall, storm surges • hydrographic survey plans • earthquake monitoring data • Building Price Index. <p>Includes briefs, investigations and technical advice, assessments, studies, planning and advice, audits, surveying, quantity surveying, geotechnical studies, modelling etc.</p>	Required as State archives
1.5.10		School and minor works maintenance files, routine audits of contractor systems, contract payments, payment schedules, demountable installs and relocations, emergency repairs and services, risk assessments, incident investigations, product warranties and product information.	Retain minimum of 12 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>PUBLIC WORKS - Standards</i>			
1.6.0	Standards	<p>Providing input into the development and review of whole of government standards and policies and establishing organisational quality assurance processes for the construction of buildings, infrastructure and the built environment.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> STRATEGIC MANAGEMENT - Standards for records relating to organisational quality assurance systems and processes.</p>	
1.6.1		Records relating to the development and input into Whole of Government policy and standards for construction of buildings. Records include correspondence, significant drafts and submissions.	Required as State archives
1.7.0	Manage accreditation (Organisation & Supplier)	<p>The activity of monitoring accreditations required of the organisation and suppliers to deliver services to clients.</p> <p>See PUBLIC WORKS - Manage programs and projects for records relating to supplier accreditation and monitoring records for individual projects.</p>	
1.7.1		Records relating to the accreditation of the organisation's work health and safety management systems. Includes applications, determination, audits, and performance reports.	Retain minimum of 75 years after action completed, then destroy
1.7.2		Records relating to the accreditation of the organisation's environmental and quality management systems. Records include application, determination, audit, performance reports.	Retain minimum of 7 years after certification lapses or action completed, then destroy
1.7.3		Records relating to the monitoring of contractors' and suppliers' financial position and viability, and accreditation of their management systems, including work health and safety, environmental and quality management. Includes applications,	Retain minimum of 7 years after expiry of accreditation or

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No	Function/Activity	Description	Disposal Action
<i>PUBLIC WORKS - Manage accreditation (Organisation & Supplier)</i>			
		determination, audits, performance reports, financial checks and assessments, bank guarantees etc.	action completed, then destroy