

**Retention and Disposal Authority for Records of Major
Infrastructure and Development Projects**

Authority number: PROS 19/09



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Authority for Records of Major
Infrastructure and
Development Projects**

Issued Date: 27/11/2019

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INTRODUCTION

Context

Background and Scope

The scope of this RDA is the delivery of major infrastructure and/or development projects for the State. This includes property development, land development, precinct development, social and economic capital works projects, and associated functional responsibilities.

The functional areas covered include:

- The management and coordination of major infrastructure and/or development projects.
- The management and coordination of renewal and re-invigoration projects in large areas of undeveloped and/or under-utilised land.
- Implementation of urban planning and development policies, such as diverse and affordable housing, meeting the challenges of population growth, and accessibility to transport, healthcare, education and employment.
- New business development initiatives (i.e. activities to identify and secure further property development and social and economic capital works projects in order to deliver an enhanced commercial return to Victorian taxpayers).

The agency responsible for delivering the major infrastructure and/or development project may on occasion be required to take on the role of local government authority for a project site for the duration of a project, making it responsible for issuing the necessary building permits, conducting inspections, issuing certificates of final occupancy etc., and for managing compliance with planning scheme requirements and amendments. Records created to fulfil these responsibilities while the agency occupies this role are out of scope for this RDA and should be sentenced against PROS 09/05 *Retention and Disposal Authority for Records of Local Government Functions*.

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Scope	<p>This Retention and Disposal Authority applies to records created through the delivery of major infrastructure and/or development projects for the State. This includes property development, land development, precinct development, social and economic capital works projects, and associated functional responsibilities.</p> <p>Agencies covered under the scope of this Retention and Disposal Authority are:</p> <ul style="list-style-type: none">• Development Victoria• Other organisations by application to PROV.
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Status	Issued by Keeper
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Issue Date	27 November 2019
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List of Functions and Activities covered

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Introduction

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.

Context of this Authority

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.

Disposal of records identified in the Authority

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

It is a criminal offence to unlawfully destroy a public record under s 19(1) of the *Public Records Act 1973*.

The destruction of a public record is not unlawful if done in accordance with a Standard established under s 12 of the *Public Records Act 1973*.

This Standard (also known as an Authority) authorises the disposal of public records as described within its provisions. However, disposal is **not** authorised under this Standard if it is reasonably likely that the public record will be required in evidence in a current or future legal proceeding.

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For the purposes of this Retention and Disposal Authority, a 'legal proceeding' has the same meaning as the *Evidence (Miscellaneous Provisions) Act 1958*, and includes any civil, criminal or mixed proceeding and any inquiry in which evidence is or may be given before any court or person acting judicially, including a Royal Commission or Board of Inquiry under the *Inquiries Act 2014*.

If the public office identifies that public records must be retained under other applicable legislation for a period that exceeds the retention period specified under the Standards, then the longer retention period must apply.

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.

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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.

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.

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 records must be managed and transferred in accordance with PROV Standards.

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

[signed]

Justine Heazlewood, Keeper of Public Records
Date of Issue: 27 November 2019

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No	Function/Description	Status	Disposal Action
1.0	<p>Proposal and Initiation</p> <p>The function of proposing and initiating major infrastructure and/or development projects. Including:</p> <ul style="list-style-type: none"> • identifying and scoping new opportunities for projects which deliver economic and social benefit to the community, including the identification of under-utilised land and/or community spaces which are suffering from poor or negative use, the potential for precinct formation and development, feasibility studies etc. • compiling business case information which considers concepts for design, the costs, social, economic and environmental impacts, and other factors which assist in decision making, such as what if any impact the project may have on Native Title claims • designing infrastructure and/or buildings and other development features such as landscaping or earthworks, including design competitions • seeking, receiving, compiling and analysing research data, market trends or public/stakeholder opinions in order to gauge/predict the likelihood of success of the proposed project works • liaising with cultural, heritage and/or environmental authorities to agree on/gain approval for proposed project works • making decisions on the approval/rejection of projects, including requests for further information/work and other activities to support decision making • establishing project governance, including memorandums of understanding and other agreements to define responsibilities, project steering groups and other management structures and their membership • commissioning communication and collaboration channels and forums, including those which engage with stakeholders or with the community for consultation or awareness purposes etc. • authorising delegations and other powers or duties for project staff to make decisions, including the criteria/limitations under which decisions may be made or actions undertaken without further reference to project governance structures (e.g. limits on the purchase amount a 		

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No	Function/Description	Status	Disposal Action
<i>Proposal and Initiation</i>			
	<p>person can approve)</p> <ul style="list-style-type: none"> • project planning and resource allocation, including the identification of contracted resource requirements and authorisations to procure these • conducting valuations, site surveys and other assessments either for the purposes of decision making, or for future comparison e.g. following completion of the project • authorising and obtaining any approvals for the transfer of land on which the project will take place e.g. the disposal of Crown land by the relevant authority for the purposes of an affordable housing or community services development. Includes authorisations and arrangements for the temporary transfer of ownership of/responsibility for land for the duration of the project. • amending planning schemes (where required) with respect to a development site to e.g. allow/approve the planned use following development such as re-zoning industrial land use to residential land use • registering the project/proposed works with/notifying relevant authorities for the purposes of monitoring, auditing and other compliance requirements the project is to be subject to <p><i>See Records of Common Administrative Functions OCCUPATIONAL HEALTH & SAFETY (OHS) for records of establishing and auditing development site safety</i></p> <p><i>See Records of Common Administrative Functions PROPERTY MANAGEMENT for records of insurance and security of project sites, records of the acquisition and disposal of land, including the lease of property, and the transfer of land between state entities or government jurisdictions</i></p> <p><i>See PROS 09/05 RDA for the Records of Local Government Authorities</i> 9.2 Planning Scheme Amendments for records of the amendment of planning schemes where the agency is performing the role of local government authority for a project site</p>		
1.1	<p>Permanent Records of Proposal and Initiation</p> <p>Records of continuing value which document the proposal and initiation of projects. Includes:</p> <ul style="list-style-type: none"> • project register (summary) of all project 	Permanent	Retain as State Archives, Transfer to PROV

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No	Function/Description	Status	Disposal Action
<i>Proposal and Initiation</i>			
	<p>proposals (whether approved or not) which document the opportunity/opportunities for the redevelopment of under-utilised land, ideas, designs etc., the decision and any reasons given for the proposal's approval/rejection/abandonment (if the proposal is never completed/presented to an approving body)</p> <ul style="list-style-type: none"> • approved project proposals, including business case submissions, designs for the development including site layout and building/infrastructure designs, and supporting documentation (e.g. results of community consultation on proposed site use or layout) presented to the approving body • memorandums of understanding and other agreements that initiate the project between contributing agencies, including the agency that will assume responsibility for the infrastructure/site following completion of the project • approvals from cultural, heritage and environmental authorities for the project to proceed, including any restrictions or conditions placed upon the project e.g. measures that must be taken throughout the project to prevent damage to objects of cultural or heritage value such as significant sites, pre-existing buildings or trees on or near the site, or other protective measures that must be installed/undertaken to prevent pollution of the site or neighbouring sites • reports on valuations, environmental, flora and fauna, topographic or archaeological site surveys, and any other cultural, heritage, geographic or environmental site assessments prior to the commencement of work • arrangements, including approvals/authorisations, for the transfer of ownership of land, or to assign responsibility for the land during the project • formal submissions made to design competitions (whether successful or not) for all or part of a project aspect 		
1.2	<p>Medium-term Records of Proposal and Initiation</p> <p>Records of medium-term value documenting:</p> <ul style="list-style-type: none"> • project plans and the identification of resource 	Temporary	Destroy 20 years after last action.

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<i>Proposal and Initiation</i>			
	requirements <ul style="list-style-type: none"> • records of the establishment of project communication and collaboration forums • correspondence and other forms of contact with relevant authorities for the purposes of establishing monitoring, auditing and other compliance requirements the project is to be subject to • delegation of powers or assignment of duties • submissions by community members/groups and other stakeholders during project consultation processes • project proposals which are not approved, or which are abandoned prior to seeking a decision or approval 		
1.3	Short-term Records of Proposal and Initiation Records documenting routine operational tasks supporting the function including: <ul style="list-style-type: none"> • administrative arrangements for project proposal and initiation activities • expressions of interest made to design competitions which do not result in an invitation to make a formal submission 	Temporary	Destroy 7 years after last action.

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Management, Building and Construction

2.0	<p>Management, Building and Construction</p> <p>The function of managing major infrastructure and/or development project delivery, building and construction. Includes:</p> <ul style="list-style-type: none"> • reporting on project progress against objectives and timelines • seeking direction, decisions and approvals for project activities or variations, including design and specification changes • managing project funding and budgets, including the authorisation and release of project stage payments • amending and updating designs, plans and specifications for buildings and infrastructure • producing specifications for products, appliances or services/utilities to be included in facilities • managing site and public safety, including routine monitoring, auditing and assessments throughout the project. Also includes incident reporting and responses • communicating with stakeholders, the community and the general public regarding project progress • managing and directing contracted personnel and companies. Includes regular meetings to monitor progress and delivery of contracted services and products • inspecting/testing buildings and/or infrastructure constructed by contractors, or products, appliances or services/utilities installed by contractors or suppliers. Includes landscaping, footpaths and other earthworks • managing compliance with building codes and standards, and planning scheme requirements • monitoring, auditing and other management activities relating to the prevention of environmental degradation, protection of flora and fauna, protection of archaeology or significant remains, and/or any other compliance requirement the project is subject to. Includes assessments which compare the current status with the results of surveys conducted before the commencement of the project • advertising and marketing of the project to 		
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No	Function/Description	Status	Disposal Action
<i>Management, Building and Construction</i>			
	<p>generate interest amongst potential buyers, or to attract organisations to use/lease the facilities following completion. Includes collection of the details of potential buyers/tenants for the purposes of further contact.</p> <ul style="list-style-type: none"> • naming facilities, streets and other elements of the development site • commissioning and delivery of public art to enhance the amenity of public spaces <p>See <i>Records of Common Administrative Functions</i> OCCUPATIONAL HEALTH & SAFETY (OH&S) for records of site safety audits, monitoring, safety incidents, accidents and responses</p> <p>See <i>Records of Common Administrative Functions</i> PROPERTY MANAGEMENT for records of insurance and security of project sites</p> <p>See <i>PROS 09/05 RDA for the Records of Local Government Authorities 2.1 Building Permit Management</i> for records of the issue of building permits, including inspections and certificates of occupancy where the agency is performing the role of local government authority</p> <p>See <i>PROS 09/05 RDA for the Records of Local Government Authorities 9.0 Land Use Planning</i> for records of planning scheme amendments and monitoring</p> <p>See <i>Records of Common Administrative Functions</i> PUBLICATIONS for commissioned photographs and moving images on agency activities</p>		
2.1	<p>Permanent Records of Management, Building and Construction</p> <p>Records of continuing value documenting:</p> <ul style="list-style-type: none"> • 'as built' amendments to designs, plans and specifications for site layout, buildings or infrastructure (that record what was actually constructed on site, rather than what was originally planned to be constructed during the project proposal phase) • summary records and reports on communication with stakeholders, the community and the general public on project progress • environmental degradation, protection of flora and fauna, protection of archaeology or significant remains and other compliance monitoring assessments which compare the 	Permanent	Retain as State Archives, Transfer to PROV

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Management, Building and Construction

	<p>current status of the site with the results of surveys conducted before the commencement of the project</p> <ul style="list-style-type: none"> • decisions regarding the naming of facilities, roads and streets and other elements within a project. Includes information regarding the origin of the names and any local significance they may have • commissioning and delivery of public art as part of a project 		
2.2	<p>Medium-term Records of Management, Building and Construction</p> <p>Records of medium-term value documenting:</p> <ul style="list-style-type: none"> • design, plans and specification amendments for infrastructure/buildings that are not proceeded with • compliance with building codes and standards, and planning scheme requirements • contract management meetings with the contractor, and outcomes • communication with stakeholders, the community and the general public regarding project progress. Includes correspondence with community groups and stakeholders, formal meeting records, outcomes of focus group sessions and workshops, questionnaires and survey results, presentation material, time lapse and other forms of recorded moving image • records of the inspection of products, appliances, or services/utilities installed by contractors or suppliers, including landscaping, footpaths and other earthworks • advertising and marketing of the project, including to potential buyers/tenants • arrangements for the management of site and public safety, such as scaffolding, hoarding, traffic diversion, signage • changes/amendments to the delegation of powers or assignment of duties 	Temporary	Destroy 20 years after last action.
2.3	<p>Short-term Records of Management, Building and Construction</p> <p>Records documenting routine operational tasks supporting the function including:</p> <ul style="list-style-type: none"> • administrative arrangements for site access for 	Temporary	Destroy 7 years after last action.

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Management, Building and Construction

	<p>e.g. inspections, deliveries or the provision of temporary facilities for staff and contractors working on the site</p> <ul style="list-style-type: none"> • maintain and update project plans and schedules. • approve the release of stage payments to construction contractors • daily site reports on progress/issues • contact details of interested buyers/tenants for residences or offices etc. that will result from the project 		
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Closure and Handover

3.0	<p>Closure and Handover</p> <p>The function of completing or concluding a major infrastructure and/or development project. Includes:</p> <ul style="list-style-type: none"> • final inspections and certification for occupancy or use, or equivalent processes that assess and certify a built product (buildings, housing, or infrastructure such as roads, footpaths/walkways or shelters) is fit for purpose and able to be put to the commissioned use • valuations and other assessments of the final 'product' for reporting on project outcomes against objectives • creation and distribution of instructions, manuals and/or guides concerning the ongoing use and upkeep of built products for handover to the operating agency or new owner. Includes 'as built' plans and other construction documentation of use to the operating agency/new owner for the purposes of insurance, warranties, or future fitout/renovation etc. • final reporting to project governance bodies • notification of the cessation of delegations and other duties/powers issued for the duration of the project • formal notification of handover and ongoing ownership/responsibility for a site/building to the operating agency • the settlement of residential or commercial property sales • compliance with any obligations arising from a site management agreement e.g. obligations imposed by the commonwealth regarding the ongoing maintenance and protection of habitat for endangered species located within a development site, or arising from covenants or caveats placed on a development site or project, or arising from any planning scheme agreements entered into which assign ongoing obligations or responsibilities to the agency • reviewing and evaluating project performance against objectives, both at the conclusion of the project and at some time point following implementation to assess operational performance, issues etc. <p><i>See PROS 09/05 RDA for the Records of Local</i></p>		
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Closure and Handover

	<p><i>Government Authorities</i> 2.1 Building Permit Management for records of the issue of building permits, including inspections and certificates of occupancy where the agency is performing the role of local government authority</p> <p>See <i>Records of Common Administrative Functions</i> PROPERTY MANAGEMENT for records of the sale of property (disposal of property)</p>		
3.1	<p>Permanent Records of Closure and Handover</p> <p>Records of continuing value which document:</p> <ul style="list-style-type: none"> • final reports to the project governance board/steering committee outlining performance of the final tasks in a project • formal notifications that hand over ongoing operational responsibility for the facility/infrastructure/site to the operating agency • reports on valuations, environmental, flora and fauna, topographic or archaeological site surveys, and any other heritage, geographic or environmental site assessments following the completion of work • evaluation and implementation review reports that assess a project after implementation and operation for performance/achievement against the original project proposal 	Permanent	Retain as State Archives, Transfer to PROV
3.2	<p>Medium-term Records of Closure and Handover</p> <p>Records of medium-term value documenting:</p> <ul style="list-style-type: none"> • final inspections and certificates of occupancy/use for the infrastructure/buildings where the project management agency is not performing the role of local government authority • manuals, guides and instructions prepared for handover to the operating agency or new owner • compliance management arising from conditions placed on the development site, project or agency at any stage of the project by a covenant, caveat, or other agreement. Includes compliance management relating to the assignment of ongoing responsibilities/obligations to the agency • conclusion/removal of the delegation or powers or assignment of duties 	Temporary	Destroy 20 years after last action.

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Closure and Handover

3.3	<p>Short-term Records of Closure and Handover</p> <p>Records documenting routine operational tasks supporting the function including:</p> <ul style="list-style-type: none">• the removal of site safety (e.g. temporary fencing or scaffolding) or other protective measures put in place on site• the removal of temporary facilities provided for construction staff/contractors• requests and arrangements for final inspections of buildings	Temporary	Destroy 7 years after last action.
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