



Public Record Office Standard
PROS 97/08

PUBLIC RECORD

Authority

Retention and Disposal Authority for Records of the Building Commission

Incorporating Variations 1, 2, 3 & 4

97/08	Issue Date: 03/12/1997	Expiry Date: 03/12/2007
Variation 1	Issue Date: 04/05/1998	Expiry Date: 03/12/2007
Variation 2	Issue Date: 29/11/2007	Expiry Date: 30/08/2008
Variation 3	Issue Date: 29/08/2008	Expiry Date: 30/06/2009
Variation 4	Issue Date: 01/07/2009	Expiry Date: 30/06/2010

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PUBLIC RECORDS ACT 1973
(Section 12)

RECORDS DISPOSAL SCHEDULE FOR THE BUILDING CONTROL COMMISSION

Public Record Office Standard (PROS) 97/08

Variation 1:

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Records Disposal Schedule for the Buildings Control Commission, issued as Public Record Office Standard (PROS) 97/08 on 3 December 1997, by replacing the whole of section 5.0.0 and section 6.0.0 with new section 5.0.0 and new section 6.0.0 in Schedule A below.

[Signed]

Ross Gibbs

Keeper of Public Records

Issued: 04/05/1998

Schedule A

5.0.0 BUILDING PRACTITIONERS

FUNCTION	REF No.	DESCRIPTION	DISPOSAL ACTION	EXAMPLES OF RECORDS
BUILDING PRACTITIONER REGISTRATION	5.1.0	The creation and maintenance of the register of commercial and domestic building practitioners.		<u>The following is a list of common examples, it is not an exhaustive list.</u>
	5.1.1	Registration of applications for building practitioner registration.	Permanent Hold in agency 25 years, then transfer to PRO.	Building Practitioners Board Registration Database. Database reflects refused as well as approved applicants
Case Management	5.1.2	Activities associated with the documenting and maintaining the records of applicants for building practitioner registration.	Temporary Destroy 60 years after initial registration or 10 years after registration lapses, whichever is the longer. (Transfer to secondary storage 3 years after registration lapses)	Building Practitioner Files, Domestic Builder files (application files)
	5.1.3	Documentation provided by applicants for registration supporting their application	Temporary Destroy when reference ceases	Drawings. Plans, Photographs
Reporting	5.1.4	Routine reports on the operation of the register.	Temporary Destroy once report is superseded.	Monthly registration reports.

Schedule A**5.0.0 BUILDING PRACTITIONERS**

FUNCTION	REF No.	DESCRIPTION	DISPOSAL ACTION	EXAMPLES OF RECORDS
Reporting (continued)	5.1.5	Reports to the Building Practitioners Board.	Temporary Destroy 1 year after administrative use is concluded.	Schedule of Registrations – List of applications presented at the board meeting. (Original transferred to Public Record Office – see 1.1.3)

Schedule A

6.0.0 APPEALS & DISPUTES

FUNCTION	REF No.	DESCRIPTION	DISPOSAL ACTION	EXAMPLES OF RECORDS
APPEALS & DISPUTE MANAGEMENT	6.1.0	The management of the appeal and dispute process.		<u>The following is a list of common examples; it is not an exhaustive list.</u>
	Registration	6.1.1	The process of recording all applications for appeals, modifications, disputes and referrals.	Permanent Hold in agency 25 years, then transfer to PRO.
Case Management	6.1.2	The administration of applications for an appeal, dispute, referral or modification for standard building projects, through the hearing process to determination.	Temporary Destroy 10 years after determination is made.	Appeals files, Modification files, Dispute files, Referral files. Determinations recorded in 6.1.5
	6.1.3	Documentation provided by applicants supporting their application	Temporary Destroy when reference ceases	Drawings, Plans, Photographs
	6.1.4	The administration of the application for an appeal, dispute, referral or modification for special building projects, usually where the Building Control Commission has acted as the building surveyor.	Permanent Transfer to PRO 10 years after file is closed.	Appeals files, Modification files, Dispute files, Referral files relating to Crown Casino.
	6.1.5	Applications withdrawn prior to hearing.	Temporary Destroy 2 years after application is withdrawn.	Appeals files, Modification files, Dispute files, Referral files.

Schedule A

6.0.0 APPEALS & DISPUTES

FUNCTION	REF No.	DESCRIPTION	DISPOSAL ACTION	EXAMPLES OF RECORDS
Determination	6.1.6	Determinations made on all applications gone to hearing.	Permanent Transfer to PRO 25 years after determinations made.	Bound determination volumes

Public Records Act 1973

(Section 12)

**Retention and Disposal Authority for Records of the
Department of Infrastructure – Building Control
Commission Records**

Public Record Office Standard (PROS) 97/08

Variation 2:

In accordance with section 12 of the *Public Records Act* 1973 (as amended), I hereby vary the Standard applying to the Department of Infrastructure – Building Control Commission Records, issued as Public Record Office Standard (PROS) 97/08 on 03/12/97, as follows:

Extension of the application of the Authority until 30/08/2008

This Variation shall have effect from its date of issue.

[Signed]

Justine Heazlewood

Date of issue: 29 November 2007

Director and Keeper of Public Records

**Public Records Act 1973
(Section 12)**

**Retention and Disposal Authority for Records of the
Department of Infrastructure – Building Control
Commission Records**

Public Record Office Standard (PROS) 97/08

Variation 3:

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to the Department of Infrastructure – Building Control Commission Records, issued as Public Record Office Standard (PROS) 97/08 on 03/12/97, as follows:

Extension of the application of the Authority until 30/06/2009

Title of the Authority to be changed to:

Retention and Disposal Authority for Records of the Building Commission

This Variation shall have effect from its date of issue.

[Signed]

Justine Heazlewood

Date of issue: 29 August 2008

Director and Keeper of Public Records

**Public Records Act 1973
(Section 12)**

**Retention and Disposal Authority for Records
of the Building Commission**

Public Record Office Standard (PROS) 97/08

Variation 4:

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to the Building Commission Records, issued as Public Record Office Standard (PROS) 97/08 on 03/12/97, as follows:

Extension of the application of the Standard until 30/06/2010

This Variation shall have effect from its date of issue.

[Signed]

Justine Heazlewood

Date of issue: 01/07/2009

Director and Keeper of Public Records

ACKNOWLEDGEMENT

This disposal schedule for the records of the Building Control Commission was developed by Mary Ann Rosenthal, Records Management Consultant for the Building Control Commission, and Kerry Williams, Information Officer for the Commission with guidance from the Public Record Office.

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PART ONE
ESTABLISHMENT OF THE STANDARD

PART ONE : ESTABLISHMENT OF A RECORDS MANAGEMENT STANDARD

1.1.0 Scope of the Standard

In accordance with section 12 of the *Public Records Act 1973*, I hereby establish a Standard for the efficient management of the records which are described in the attached disposal schedule for the records of the Building Control Commission, Department of Infrastructure.

Records described in the Disposal Schedule may be disposed of in accordance with its provisions.

Records sentenced for destruction in accordance with this Schedule may be destroyed without further authorization in accordance with this Standard.

Notification of records destroyed in accordance with this Schedule shall be made to the Public Record Office.

1.2.0 Duration of the Standard

This Standard shall apply for ten years from its date of issue unless revoked sooner.

1.3.0 Variation of the Standard

This Standard may be varied by the Keeper of Public Records.

1.4.0 Concurrence of public office

This Schedule has the concurrence of

..... (Signature and date)
 Max Croxford (Name)
Commissioner (Position)

1.5.0 Signature of the Keeper of Public Records

.....
 Ross Gibbs
Keeper of Public Records

Date of Issue: 3/12/1997.

PART TWO
INTRODUCTION TO THE SCHEDULE

1.0.0 SCOPE OF THIS DISPOSAL SCHEDULE

This Disposal Schedule is a Standard issued under section 12 of the *Public Records Act* 1973. It has been issued by the Public Record Office in consultation with the Building Control Commission.

2.0.0 OBJECTIVES OF THIS DISPOSAL SCHEDULE

The aims of the Schedule are to:

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

3.0.0 USE OF OTHER DISPOSAL SCHEDULES

In applying the disposal sentences set out in this schedule, reference should be made to other current Disposal Schedules where applicable. Where there is conflict between two Disposal Schedules, consult the Public Record Office.

4.0.0 HOW TO USE THE SCHEDULE

4.1.0 Transfer of Records to the Public Record Office

Agencies wishing to transfer permanent records to archival custody should contact Agency Services at the Public Record Office for further advice.

4.2.0 Destruction of Records Identified in the Schedule

When records identified as temporary in the Schedule are destroyed, notify the Public Record Office by completing and forwarding the form *PRO 29 Notification of Destruction of Public Records*. For records not covered by a schedule contact the Public Record Office for further advice.

5.0.0 REVIEWING THE SCHEDULE

This Schedule prescribes minimum and permanent retention periods. Periods may not be shortened without the approval of the Keeper of Public Records. If you think there is a need to alter a retention period please contact the Public Record Office.

6.0.0 FURTHER INFORMATION

6.1.0 Public Record Office Standards

Further information relating to the disposal of records is set out in a number of Public Record Office Standards. Some Standards are relevant to particular public offices or groups of public offices. Others relate to all public offices. These include PROS 95/6, *Disposal of Public Records* which describes procedures for the efficient management and authorized disposal of public records.

Your office will be notified of any relevant general standards applicable to it as they are issued in the future.

6.2.0 Contact the Public Record Office

In addition to General and other Standards, there are a number of Public Record Office guidelines and brochures available.

You can obtain these publications, supplies of relevant forms, and answers to any enquiries you may have, by contacting

Record Services
Public Record Office Victoria
P. O. Box 2100
NORTH MELBOURNE VIC 3051

ph: (03) 9348 5600
fax: (03) 9348 5656
email: prov.agency.queries@dvc.vic.gov.au

PART THREE
THE DISPOSAL SCHEDULE

1.1.0 Background Information about the Building Control Commission

The Building Control Commission was formed in 1994 under the *Building Act 1993* from the former Division of Building Control, Department of Planning and Development. The Commission took over responsibilities for building control from the Division of Building Control and several other departments. In 1996 the Commission became responsible for Domestic Builders under the *Domestic Building Contracts and Tribunal Act 1995*.

The Commission did not establish its own records management system until 1996. The Department of Planning and Development (DPD) Records Management Service continued to create files for policy officers of the Commission. The Building Appeals Board had also had access to the DPD's record system to create files. Files were also transferred from other departments, mainly the Health Department Victoria. In 1996 a consolidated records management system was introduced to the Commission and all records, with the exception of the Building Practitioners Board Files, are maintained on that system.

Under the *Building Act 1993* the Commission is responsible for the administration of the following boards and committees:

- Building Practitioners Board
- Building Appeals Board
- Building Advisory Council
- Building Regulations Advisory Committee

Building Appeals Board

The Building Appeals Board was formed in 1994 under the *Building Act 1993* and took over the functions of the Building Referees Board. The Referees Board and its predecessors date back to the 1940s.

Building Practitioners Board

The Building Practitioners Board was formed in 1994 under the *Building Act 1993*, which established the registration procedures for commercial builders in Victoria. Domestic builders were included in 1996. The Building Practitioners Board took over the functions of the Building Qualifications Board.

1.2.0 Index to the Disposal Schedule

1.0.0 Building Regulations

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1.1.2 Policy

1.1.3 Statutory Boards and Committees

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5.1.0 Building Practitioner Registration

5.1.1 Registration

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6.1.0 Appeals and Disputes Management

6.1.1 Registration

6.1.2 Case Management

6.1.5 Determination

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7.1.0 Inspection and Investigation Management

7.1.1 Registration

7.1.2 Case Management

7.1.4 Reporting

1.3.0 Explanation of Disposal Schedule Headings

The Disposal Schedule comprises:

FUNCTION / CLASS

The schedule has been drafted to reflect the different areas of responsibility or functions that come under the purview of the Building Control Commission. The activities that are involved in the administration of these functions are listed accordingly. Such activities usually result in classes of records. A record class is a group of records that relate to the same activity, function or subject and require the same disposal action.

The schedule may also include instructions or guidelines relating to culling, sentencing and sampling provisions, information on duplication of record content in other classes, and cross-references to other entries in the Schedule.

REFERENCE NUMBER (REF No.)

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

DISPOSAL ACTION

(Disposal Action covers the disposal status of the records and custody arrangements.)

This entry provides the archival status of each class being either permanent or temporary. In relation to temporary classes the entry also provides a retention period or sentence specifying how long the records should be kept prior to destruction, and the activity, transaction or event to which the retention period or sentence should be tied.

This entry also provides the custody arrangements for each class in terms of whether it is to be retained by the public office or transferred to the Public Record Office.

The agency may transfer records **not identified as permanent in this or other schedules** to an Approved Public Record Office Storage Supplier pending final disposal action. For further information on APROSS facilities please contact the Public Record Office Facilities Manager, ph: (03) 9369 3244.

1.4.0 The Disposal Schedule

BUILDING REGULATIONS

FUNCTION	REF No.	DESCRIPTION	DISPOSAL ACTION	EXAMPLES OF RECORDS
LEGISLATIVE ADVICE - Acts & Regulations	1.1.0	The process of reviewing, advising, consulting on the impact and effectiveness of the Building Act and Building Regulations.		<u>The following is a list of common examples, it is not an exhaustive list.</u>
Legislative Development & Consolidation	1.1.1	Activities that develop legislation, regulations and amendments to existing legislation and regulations.	Permanent Transfer to PRO 10 years after file is closed.	Legislative files, Legislative consolidation files, Regulation files, Building Code of Australia files, Consultation and liaison files.
Policy	1.1.2	Activities that develop policies from the interpretation of the legislation, or from investigation of industry issues.	Permanent Transfer to PRO 10 years after file is closed.	Policy files, enquiry files, consultation and liaison files.
Statutory Boards and Committees	1.1.3	Under the Building Act the Commission is required to administer various advisory boards and committees.	Permanent Transfer to PRO 25 years after file is closed.	Minutes and Agenda, Nominations, Appointments and Resignations, for the Building Advisory Council, Building Appeals Board, Building Practitioners Board Building Regulation Advisory Board.

FUNCTION	REF No.	DESCRIPTION	DISPOSAL ACTION	EXAMPLES OF RECORDS
INFORMATION SERVICES	1.2.0	The Commission is required to disseminate information to the industry and the public.		
Enquiries Management	1.2.1	The management of enquiries directed to the commission to solicit information about building regulations excluding FOI and Ombudsman enquiries or requests.	Temporary Destroy 5 years after administrative use is concluded	Correspondence files. For enquiries that lead to changes in the legislation see 1.1.2
Promotions	1.2.2	The management of promotions and campaigns to educate the industry or public about specific issues.	Permanent Transfer to PRO 5 years after promotion is concluded.	Safe Pool campaign files and documents.
Publications	1.2.3	Final published item.	Permanent One copy to be set-aside at time of publication for transfer to the PRO.	News Bulletins, Practice Notes, Ministerial Directions, Annual reports, Brochures. Building Activity Profile.
	1.2.4	Activities associated with the production of printed materials.	Temporary Destroy 5 years after item published.	Specific publication files, drafts.

2.0.0 BUILDING STANDARDS

FUNCTION	REF No.	DESCRIPTION	DISPOSAL ACTION	EXAMPLES OF RECORDS
ACCREDITATION OF BUILDING PRODUCTS	2.1.0	The process of accrediting new building products for use in the building industry.		<u>The following is a list of common examples, it is not an exhaustive list.</u>
Victorian Accreditation	2.1.1	Activities associated with the accreditation of products for use in Victoria.	Permanent Transfer to PRO 10 years after application is assessed.	Victorian Accreditation files, Certificates of Accreditation, Victorian Accreditation Register, Building Regulation Advisory Board files
National Accreditation	2.1.2	Accreditation of products for use nationally.	Temporary Destroy 10 years after application is assessed.	National Accreditation files, Certificates of Accreditation.

FUNCTION	DESCRIPTION	DISPOSAL ACTION	EXAMPLES OF RECORDS
RESEARCH	2.2.0 The process of investigating the effectiveness of building standards.		
Consultation	2.2.1 The consultation with various stakeholders concerning the appropriateness and effectiveness of building standards.	Permanent Transfer to PRO 10 years after file is closed.	Internal committee files
Representation and Liaison	2.2.2 Activities associated with representing the Victorian Government on various external bodies and organisations, or liaison with various bodies.	Temporary Destroy 5 years after agency ceases participation.	Standards Australia Files, Australian Building Codes Board files, other organisation files – minutes & agendas supplied for use of representative
	2.2.3 Activities that investigate specific issues that are referred to the Commission by direction of the Minister.	Permanent Transfer to PRO 10 years after file is closed.	Specific issue files, example Swimming pool safety, disabled access.

3.0.0 BUILDING PERMITS

FUNCTION	REF No.	DESCRIPTION	DISPOSAL ACTION	EXAMPLES OF RECORDS
BUILDING PERMITS	3.1.0	Under the <i>Building Act</i> 1993 the Building Control Commission may be appointed to act as the building surveyor for particular building projects or for selected types of structures and issues building and occupancy permits.		<u>The following is a list of common examples, it is not an exhaustive list.</u>
Places of Public Entertainment	3.1.1	The process of assessing, determining and issuing building permits for places of public entertainment.	Permanent Transfer to PRO 10 years after file is closed.	AFL grounds files
Temporary Structures	3.1.2	The process of assessing, determining and issuing building permits for temporary structures.	Permanent Transfer to PRO 10 years after file is closed.	Records for circus tents, seating stands, stages, marquees, floors, temporary places of public entertainment
Other Projects	3.1.3	The process of assessing determining and issuing building permits for projects as appointed by the Minister responsible.	Permanent Transfer to PRO 10 years after file is closed.	Crown Casino files, plans, and other records

4.0.0 BUILDING PERMIT LEVY

FUNCTION	REF No.	DESCRIPTION	DISPOSAL ACTION	EXAMPLES OF RECORDS
BUILDING PERMIT LEVY MANAGEMENT Registration	4.1.0	The management of the collection of the building permit levy.	Permanent Transfer to PRO after administrative use is concluded.	<u>The following is a list of common examples, it is not an exhaustive list.</u>
	4.1.1	Maintenance of a register of eligible building permit levy payers.		Levy Database.
Case Management	4.1.2	The process of monitoring the returns of eligible building surveyors. <i>Note: Files cannot be destroyed until an audit has been conducted.</i>	Temporary Destroy 5 years after file is closed.	Levy files for building surveyors, lodging organisations, returns, correspondence, audit files, compliance files.
Reporting	4.1.3	Routine reports to management on the operations of the levy collection system.	Temporary Destroy once report is superseded.	Weekly, monthly or quarterly reports.
	4.1.4	Reports to management that summarize the overall operation of the levy collection system.	Permanent Transfer to PRO 5 years after report issued.	Annual report

5.0.0 BUILDING PRACTITIONERS

FUNCTION	REF No.	DESCRIPTION	DISPOSAL ACTION	EXAMPLES OF RECORDS
BUILDING PRACTITIONER REGISTRATION Registration	5.1.0	The creation and maintenance of the register of commercial and domestic building practitioners.		<u>The following is a list of common examples, it is not an exhaustive list.</u>
	5.1.1	Registration applications for building practitioner registration.	Permanent Hold in agency 25 years, then transfer to PRO.	Building Practitioners Board Registration Database. Database reflects refused as well as approved applicants
Case Management	5.1.2	Activities associated with the documenting and maintaining the records of applicants for building practitioner registration.	Temporary Destroy 60 years after initial registration or 10 years after registration lapses, whichever is the longer. (Transfer to secondary storage 3 years after registration lapses)	Building Practitioner Files, Domestic Builder files (application files)
	5.1.3	Documentation provided by applicants for registration supporting their application.	Temporary Destroy when reference ceases	Drawings, Plans, Photographs.
Reporting	5.1.4	Routine reports on the operation of the register.	Temporary Destroy once report is superseded	Monthly registration reports

FUNCTION	REF No.	DESCRIPTION	DISPOSAL ACTION	EXAMPLES OF RECORDS
Reporting (Continued)	5.1.5	Reports to the Building Practitioners Board	Temporary Destroy 1 year after administrative use is concluded.	Schedule of Registrations – List of applications presented at the Board meeting. (Original transferred to Public Record Office – see 1.1.3).

6.0.0 APPEALS & DISPUTES

FUNCTION	REF No.	DESCRIPTION	DISPOSAL ACTION	EXAMPLES OF RECORDS
APPEALS & DISPUTE MANAGEMENT Registration	6.1.0	The management of the appeal and dispute process.		<u>The following is a list of common examples; it is not an exhaustive list.</u>
	6.1.1	The process of recording all applications for appeals, modifications, disputes and referrals.	Permanent Hold in agency 25 years, then transfer to PRO.	BAB Registration database
Case Management	6.1.2	The administration of applications for an appeal, dispute, referral or modification for standard building projects, through the hearing process to determination.	Temporary Destroy 10 years after determination is made.	Appeals files, Modification files, Dispute files, Referral files. Determinations recorded in 6.1.5
	6.1.3	Documentation provided by applicants supporting their application.	Temporary Destroy when reference ceases	Drawings, Plans, Photographs.
	6.1.4	The administration of the application for an appeal, dispute, referral or modification for special building projects, usually where the Building Control Commission has acted as the building surveyor.	Permanent Transfer to PRO 10 years after file is closed.	Appeals files, Modification files, Dispute files, Referral files relating to Crown Casino.
	6.1.5	Applications withdrawn prior to hearing.	Temporary Destroy 2 years after application is withdrawn.	Appeals files, Modification files, Dispute files, Referral files.

FUNCTION	REF No.	DESCRIPTION	DISPOSAL ACTION	EXAMPLES OF RECORDS
Determination	6.1.6	Determinations are made on all applications that go to hearing.	Permanent Transfer to PRO 25 years after determinations made.	Bound determination volumes

7.0.0 INSPECTION AND INVESTIGATION

FUNCTION	REF No.	DESCRIPTION	DISPOSAL ACTION	EXAMPLES OF RECORDS
INSPECTION & INVESTIGATION MANAGEMENT	7.1.0	The management of complaints and other requests for inspections or investigations for both commercial and domestic building practitioners.		<u>The following is a list of common examples, it is not an exhaustive list.</u>
Registration	7.1.1	The maintenance of a register of complaints and requests for inspections and investigations, includes applicant details and determination.	Permanent Hold in agency 25 years then transfer to PRO.	Domestic Builders inspection Database, Investigations database
Case Management	7.1.2	Activities associated with investigation of complaints and other requests for inspection and investigation.	Temporary Destroy 10 years after file is closed.	DBI Files, Investigation files, Inspection reports, Statements, Interviews
	7.1.3	Applications withdrawn prior to determination.	Temporary Destroy 2 years after application is withdrawn.	DBI Files, Investigation files, Inspection reports, Statements, Interviews
Reporting	7.1.4	Routine reports detailing operations of inspections and investigations.	Temporary Destroy once report is superseded.	Monthly reports
	7.1.5	Summary reports to the regulatory bodies summarising the operations of inspections and investigations.	Permanent Transfer to PRO 10 years after report is issued.	Annual reports to Commission, reports to Domestic Builders Tribunal, Building Practitioners Board, Building Appeals Board.

PROS 97/08 Retention and Disposal Authority for Records of the Building Commission