



ABMA BUILDING MANAGEMENT CODE

Frequently Asked Questions

Harvesting “As Built” Documentation



HARVESTING "AS BUILT" DOCUMENTATION

For Building Owners & Managers

Frequently Asked Questions



HARVESTING "AS BUILT" DOCUMENTATION FOR COMMUNITY TITLES SCHEMES

1. What is "As Built" documentation?

1.1.1.1 The term "As Built" or "As Constructed" describes the finished construction product as it was completed and certified. "As Built" or "As Constructed" documentation is the suite of records, plans and certificates that relate to the completed construction works. "As Built" or "As Constructed" documentation can differ from the design documentation as builders tend to make changes during the construction process for a myriad of reasons and therefore, the "As Built" information should accurately reflect the approved completed work.

1.1.1.2 "As Built" documents are sometimes nick-named "As Cons".

2. What does "As Built" documentation include?

1. "As Built" documentation includes a myriad of documents associated with the completed construction work, including plans, certificates, reports, records and contracts, such as: -

2.1.1.1 Plans: - Architectural, structural, hydraulic, fire, mechanical, electrical, civil, landscape, etc.

2.1.1.2 Final construction approval certificate or "Certificate of Occupancy/Classification"

2.1.1.3 Final Certificates or "Form 16's"

2.1.1.4 Final Certificate from the fire regulator

2.1.1.5 Any "Alternative Building Solution" (or "ABS")

2.1.1.6 The "Management In-Use" documentation (maintenance plans prepared by design engineers for the maintenance of the designed system for the life cycle of the building)

2.1.1.7 Warranty Certificates from installed plant and equipment manufacturer's

2.1.1.8 Warranty Certificates from applied materials and finishes manufacturer's

2.1.1.9 Building Contract/s

2.1.1.10 Builder's enduring insurances

2.1.1.11 Builder's enduring occupational licensing details

3. Why does the building owner need the "As Built" documentation?

1. "As Built" documentation forms the basis of the building's establishment documentation and may include enduring contracts to which the Body Corporate or Owners Corporation may be obliged to maintain beyond the control of the original owner or Developer. "As Built" documentation and enduring contracts and/or insurances/warranties will be referred to throughout the life of the structure for many reasons, such as: -

3.1.1.1 Building defects presenting within the defect liability period requiring the Body Corporate or Owner's Corporation to manage a warranty claim;

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- 3.1.1.2** Body Corporate or Owner's Corporation desire to extend/alter the common property structure at some future point;
- 3.1.1.3** Service providers to the Body Corporate or Owner's Corporation requiring access to baseline data for their servicing and maintenance works
- 3.1.1.4** Regulatory authorities requiring access to baseline data for their auditing purposes

Section 77 of the BCCM Regulation (Accommodation Module) & Section 79 (Standard Module) requires (among other things) all "As Built" and baseline data documentation to be handed over from the original owner to the Body Corporate at the first Annual General Meeting of the Body Corporate.

4. Who is responsible for providing the "As Built" documentation?

4.1 The original owner of the scheme land prior to registration of the strata scheme or community titles scheme is responsible for providing the "As Built" and baseline data documentation to the new owner (i.e. Owner's Corporation or Body Corporate). Handover of "As Built" and baseline data usually occurs at the first Annual General Meeting of the scheme.

5. What happens if the original owner fails to handover the "As Built" documentation?

5.1 In circumstances where the original owner (Developer) fails to handover the "As Built" and baseline data at the first Annual General Meeting the Owner's Corporation or Body Corporate is encouraged to seek urgent legal advice as to remedy. The longer it is left to track down the "As Built" and baseline data documentation, the harder it is to retrieve it.

5.2 Sometimes the "As Built" and baseline data is handed over and then gets "lost". It is important to secure the documents via both digital and hard-copy files for prudence.

TIP: - When receiving a suite of "As Constructed" or baseline data from any source ensure a transmittal advice records every single page received. Have both the deliverer and receiver of the documentation sign the transmittal advice before instructing the strata manager to save to the file. Digital and hard copy records are recommended, with a full set of digital information stored off-site in a secure secondary record keeping repository.

6. Where can a Body Corporate or Owner's Corporation find "As Built" documentation once the original owner has moved on?

6.1 There are many options for finding and retrieving "As Built" documentation and baseline data available to the Body Corporate or Owner's Corporation, however fees

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apply in most cases. It is always best to ensure the original owner (Developer) hands over the full suite of documents at the first AGM to save time and money for the Lot Owners. Options for retrieval are detailed in the following sections: -

7. Where can I get "As Built" plans from?

7.1 "As Built" or "As Constructed" plans may be purchased from the following sources: -

- 1. Local Authority** – Wherever the final certificate was issued from, the full suite of "As Constructed" plans will be held on file. Details of the relevant local authority will be listed on the Final Occupancy Certificate (or Certificate of Classification). Contact the local council for details on how to harvest "As Constructed" documentation for your scheme.
- 2. Plumbing/Drainage Department** (of the local authority) – Some councils have a separate department for managing the civil/plumbing/drainage aspects of the built works. Applications to the plumbing/drainage department may be made in the same way (as above).
- 3. Private or Registered Certifier** – The certifying entity who managed the certification process will also have "As Constructed" records archived, however in most instances will require a release note from the original owner, who was their instructing client throughout the certification process. The lawyer for the Body Corporate or Owner's Corporation may be able to assist in disclosing to the certifier the transfer of the building contract/s from original owner to Body Corporate/Owner's Corporation at the conclusion of the original owner's period of control, enabling the release of "As Built" documentation.
- 4. Design Engineer or Architect** – The entity that prepared the "As Constructed" plans will also have records archived and, as per the certifier, will have entered into contract/s with the original owner (Developer) at design stage. Accordingly, the design engineer or architect may need release paperwork to provide access to copies of "As Constructed" documentation.
- 5. Original Builder or Licensee** – The original builder has entered into contract/s with the original owner (Developer) for the construction works aspect and would have been involved in the certification process, including input into the "As Built" plans. If the original builder's contact details are known, the Body Corporate or Owner's Corporation may seek copies of "As Constructed" plans from them.
- 6. Strata Manager** – Chances are that the original owner (Developer) provided copies of the "As Built" and baseline data to the strata manager at the registration of the scheme. The strata manager should have saved these to the scheme files and register of contracts.

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7. **Onsite Manager or Caretaker** – In circumstances where Management Rights have been sold by the original owner (Developer) the caretaking service provider may have assumed custody of the "As Built" documentation. It is not unusual for the "As Built" plans and operations manuals to be left on site in plant rooms, for the use of the caretaking service provider.
8. **Fire Regulator** – The regulatory authority for fire safety and legislation in each state is required to maintain a register of "As Built" and baseline data for the fire protection system approved/installed within each property within its jurisdiction. Access to archived baseline data is available via the "Right to Information" process. Contact the local fire station for details.

TIP: - When making an application with a regulatory authority for copies of plans, it is important to be very clear that you are seeking the "As Constructed" suite of documents, as opposed to the Development Application, Development Approval, Building Application or Building Approval documents. Councils tend to have very complex archives with millions of records and chances are that your scheme land has been developed more than once over the decades. It can be frustrating if the first attempt to harvest documentation results in the wrong set!

8. What should I do with the "As Constructed" documentation once received?

8.1 **Document Transmittal Advice** - The first thing to do is to create a list (or register) of every single document received. Set up the list with identification details for each page/sheet/document/certificate named clearly and get both the receiver of the information and the supplier of the information to sign it. This is known as a Document Transmittal Advice and confirms what was provided, to whom and when.

8.2 **Digital File** – If documentation has been supplied in hard copy format it is advisable to have all documents scanned to digital format. This may be done at the local office printing supplier outlet. Once digital files are created they are much easier to secure and save. Ensure that the following parties received digital copies for prudence: -

1. **The Strata Manager**
2. **The Committee Secretary**
3. **Any building manager** (caretaker or facilities manager)

8.3 **Hard Copy File** – The hard copy documents can be either stored onsite in the caretaker's office, plant room or other moisture-proof onsite facility, or archived in the strata managers office. Under no circumstances should the hard copies of "As

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Constructed" or baseline data be lost or destroyed. All "As Constructed" and/or baseline data records must be stored in a fire proof lock box or filing cabinet.

8.4 Fire Records Lock Box – Certain documents must be kept in a fire proof storage facility located outside the secure area of common property so as to be accessed by the emergency services in an emergency event outside of normal business hours. In addition to "As Built" and baseline data records, other documents are required to be included in the Fire Records Lock Box. Full details of required contents are provided in the ABMA Building Management Code© Chapter 10, Table 10G [2017 Edition].

8.5 WHS Records Lock Box - Certain documents must be kept in a fire proof storage facility located outside the secure area of common property so as to be accessed by the emergency services in an emergency event outside of normal business hours. In addition to "As Built" and baseline data records, other documents are required to be included in the WHS Records Lock Box. Full details of required contents are provided in the ABMA Building Management Code© Chapter 17, Table 17A [2017 Edition].

TIP: - The WHS and Fire Records Lock Box is required to support building owner's compliance obligations to ensure safe work on the common property and compliant maintenance of the fire protection system installed within the building. Access to "As Built" and baseline data is essential for service contractor compliance.