

## State Records Authority of New South Wales

### **Functional Retention and Disposal Authority: FA274**

This authority covers records documenting the function of architectural profession regulation

Issued to NSW Architects Registration Board

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.



**State Records Authority of New South Wales**  
**Functional Retention and Disposal Authority**

**Authority no** FA274

**SR file no** 07/0535

**Scope**

This functional retention and disposal authority covers records documenting the function of architectural profession regulation from 1921 onwards.

**Public office**

NSW Architects Registration Board

**Approval date**

Alan Ventress  
Director  
State Records Authority of New South Wales

20/02/2009  
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.

This authority is the product of an appraisal process conducted in accordance with State Records' *Standard on the appraisal and disposal of State records*. It is the duty of a public office, in submitting a draft functional 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 the public office in discharging its 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.

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 – Imaged records*). 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, FOI requests) 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.

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.

### **Custody**

The custody column in the functional retention and disposal authority is designed to assist public offices in identifying storage requirements or transfer arrangements for records identified as State archives (ie with a Disposal action of 'Required as State archives'). The directions in this column are recommendations only and are *not* mandatory. The type of information may include directions on how long records should be retained in the office and how long they should be kept in off-site, off-line or secondary storage prior to their transfer as State archives. A recommendation to retain records in the organisation for more than 25 years does not imply that a *still in use determination* (see Part 4, Section 28 of the *State Records Act 1998*) or that a distributed management agreement (see Part 4, Section 30 of the *State Records Act 1998*)

has been approved by State Records. Advice on arrangements for managing and transferring State archives can be obtained from 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 functional 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 functional 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) 8247 8627  
Facsimile: (02) 8247 8626  
E-mail: [govrec@records.nsw.gov.au](mailto:govrec@records.nsw.gov.au)

**Functional Retention and Disposal Authority  
Architectural profession regulation (NSW Architects Registration Board)**

Authority no: FA274

Dates of coverage: 1921+

List of Functions and Activities covered

Function	Activity	Reference
<b>EDUCATION &amp; PROFESSIONAL DEVELOPMENT</b>		1.0.0
	Advice	1.1.0
	Course Approval & Professional Development	1.2.0
	Policy & Procedures	1.3.0
	Scholarships, Grants & Prizes	1.4.0
<b>REGULATION OF ARCHITECTS</b>		2.0.0
	Advice	2.1.0
	Disciplinary Action	2.2.0
	Examination of Architects	2.3.0
	Policy & Procedures	2.4.0
	Registration of Architects	2.5.0
	Reviewing	2.6.0
	Standards	2.7.0

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Authority no: FA274

Dates of coverage: 1921+

No	Function/Activity	Description	Disposal Action
1.0.0	<b>EDUCATION &amp; PROFESSIONAL DEVELOPMENT</b>	<p>The function of approving courses leading to formal academic qualifications and supporting the professional development of architects. Includes the awarding of prizes and scholarships and the evaluation and listing of professional development activities conducted by external providers.</p> <p><i>See General Retention and Disposal Authority – Administrative Records – COMMUNITY RELATIONS – Addresses and Conferences for records relating to seminars, forums and conferences concerning architecture and architectural issues presented by the organisation to architects, other organisations and the public, for the purpose of education and the promotion of architecture.</i></p>	
1.1.0	<b>Advice</b>	<p>The activities associated with the offering of opinions to or by the organisation relating to the approval of courses leading to recognised academic qualifications or professional development activities. Includes the handling of enquiries from architects, other organisations and the public concerning education, scholarships and prizes and continuing professional development</p> <p><i>See General Retention and Disposal Authority – Administrative Records – GOVERNMENT RELATIONS – Advice, Representations or Submissions for records relating to the provision of advice, responses to representations or submissions to the Minister, Parliament or Cabinet concerning the approval of architectural educational qualifications and the professional development of architects.</i></p>	
1.1.1		<p>Final versions of guidelines, newsletters and other publications concerning education and professional development issued to architects, external organisations and the public.</p>	Required as State archives

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No	Function/Activity	Description	Disposal Action
1.1.2		<p>Records relating to the development of guidelines, newsletters and other publications concerning education and professional development issued to architects, external organisations and the public. Includes:</p> <ul style="list-style-type: none"> <li>• Establishing an Architects Learning Group guidelines</li> <li>• FAQs on continuing professional development or education activities</li> <li>• newsletters to architects.</li> </ul> <p>Records include significant drafts and background research.</p>	Retain minimum of 3 years after last action, then destroy
1.1.3		<p>Records relating to the provision of advice concerning the approval of architectural educational qualifications and the professional development of architects. Includes:</p> <ul style="list-style-type: none"> <li>• advice provided to educational institutions and to professional associations regarding the development and approval of architectural courses and the establishment and administration of grants, scholarships and awards</li> <li>• advice to providers of professional development activities, concerning activity development and provision.</li> </ul> <p>Records include requests for advice and responses.</p>	Retain minimum of 10 years after last action, then destroy
1.1.4		<p>Records relating to the handling of enquiries from architects, the public and other organisations concerning architectural qualifications, professional development and scholarships, grants and prizes.</p>	Retain minimum of 1 year after last action, then destroy
1.2.0	<b>Course Approval &amp; Professional</b>	<p>The activities associated with the approval of academic courses and professional development activities. Also includes the listing of</p>	

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No	Function/Activity	Description	Disposal Action
	<b>Development</b>	<p>continuing professional development activities and courses on the organisation's website and the development of formal professional development activities and courses by the organisation.</p> <p>See EDUCATION &amp; PROFESSIONAL DEVELOPMENT – Policy &amp; Procedures and REGULATION OF ARCHITECTS - Standards for records relating to the formulation of requirements for architects to undertake professional development activities.</p>	
1.2.1		Records relating to the annual inspection and recognition of accredited or approved architectural courses. Records include recommendations and reports from the National and State Visiting Panels and associated correspondence with educational institutions and professional associations such as the Royal Australian Institute of Architects (RAIA).	Retain minimum of 20 years after last action, then destroy
1.2.2		<p>Records relating to the development of formal continuing professional development activities for architects by the organisation. Records include:</p> <ul style="list-style-type: none"> <li>• final versions</li> <li>• significant drafts</li> <li>• background research</li> </ul>	Retain minimum of 5 years after activity superseded, withdrawn or discontinued, then destroy
1.2.3		<p>Records relating to the listing of continuing professional development activities offered by external organisations. Records include:</p> <ul style="list-style-type: none"> <li>• applications to list activities</li> <li>• participant evaluation forms received from providers</li> </ul>	Retain minimum of 1 year after activity listing superseded, then destroy

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No	Function/Activity	Description	Disposal Action
		<ul style="list-style-type: none"> <li>• assessments and evaluations</li> <li>• correspondence with the provider</li> <li>• lists of activities and providers.</li> </ul>	
1.3.0	<b>Policy &amp; Procedures</b>	<p>The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, and standard methods of operating laid down by the organisation according to formulated policies.</p> <p>See EDUCATION &amp; PROFESSIONAL DEVELOPMENT – Advice for records relating to the development and review of external guidelines concerning the approval of architectural qualifications, professional development, scholarships and prizes issued to architects and the public.</p>	
1.3.1		<p>Records relating to the development of policies and procedures concerning the approval of architectural educational qualifications and professional development requirements for architects. Includes policies on continuing professional education and development, granting of scholarships, awards and prizes, course accreditation procedures, etc. Also includes contributions to policies and procedures developed by external organisations, such as the Royal Australian Institute of Architects. Records include:</p> <ul style="list-style-type: none"> <li>• significant drafts and file record copies of policies and procedures</li> <li>• proposals and background research</li> </ul>	Retain minimum of 10 years after superseded, then destroy

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No	Function/Activity	Description	Disposal Action
		<ul style="list-style-type: none"> <li>• submissions and comments</li> <li>• outcomes of consultation.</li> </ul>	
1.4.0	<b>Scholarships, Grants &amp; Prizes</b>	<p>The activities associated with the awarding of scholarships, grants and prizes to architects and students of architecture. Includes the sponsorship of exhibitions and forums.</p> <p>See EDUCATION &amp; PROFESSIONAL DEVELOPMENT – Advice and Policy &amp; Procedures for records relating to the development and review of internal and external policies, procedures, guidelines and terms and conditions of scholarships, grants and prizes.</p> <p>See <i>General Retention and Disposal Authority – Administrative Records</i> – COMMUNITY RELATIONS – Celebrations, Ceremonies, Functions for records of ceremonies and functions held for the awarding of scholarships, grants and prizes.</p> <p>See <i>General Retention and Disposal Authority – Administrative Records</i> – COMMUNITY RELATIONS – Conferences and Exhibitions for records relating to arrangements for and proceedings of forums and exhibitions sponsored by the organisation.</p>	
1.4.1		Records relating to the establishment, terms and conditions for scholarships, prizes and awards.	Required as State archives
1.4.2		Summary records of recipients of scholarships, research grants and prizes awarded by the organisation to architects and students of architecture, such as the Byera Hadley Travelling Scholarships, the Architects Medallion, Board research grants, annual prizes and the Client Service Excellence Award. Records include registers of recipients.	Required as State archives
1.4.3		Reports and final submissions of research grant recipients.	Required as State archives

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No	Function/Activity	Description	Disposal Action
1.4.4		<p>Records relating to successful applications for research grants. Records include:</p> <ul style="list-style-type: none"> <li>• application forms and supporting documentation</li> <li>• associated correspondence and notification to applicant</li> <li>• assessments and recommendations.</li> </ul>	Retain minimum of 10 years after last action, then destroy
1.4.5		<p>Records relating to successful applications for scholarships, awards and prizes. Records include:</p> <ul style="list-style-type: none"> <li>• applications</li> <li>• supporting documentation, such as references, mentor and client nominations, etc.</li> <li>• associated correspondence and notification to applicant</li> <li>• assessments and recommendations.</li> </ul>	Required as State archives
1.4.6		<p>Records relating to unsuccessful applications for scholarships, research grants and prizes. Records include:</p> <ul style="list-style-type: none"> <li>• application and nomination forms</li> <li>• supporting documentation, such as references, mentor nominations, etc.</li> <li>• associated correspondence and notification to applicant.</li> </ul>	Retain 3 months after scholarship, grant or prize is awarded, then destroy

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No	Function/Activity	Description	Disposal Action
1.4.7		Records relating to requests for sponsorship of architectural forums and exhibitions. Records include requests and applications for sponsorship, evaluations, recommendations, sponsorship agreements/arrangements and general correspondence.	Retain minimum of 7 years after expiry or termination of agreement or arrangement or after last action, whichever is later, then destroy
2.0.0	<b>REGULATION OF ARCHITECTS</b>	<p>The function of regulating the practice of architecture in New South Wales. Includes the assessment, examination and registration of architects to practise architecture, investigation of complaints and taking of disciplinary action against architects. Also includes the provision of advice to architects and consumers concerning the standards of professional conduct and competence expected of architects.</p> <p><i>See General Retention and Disposal Authority – Administrative Records – GOVERNMENT RELATIONS – Legislation and STRATEGIC MANAGEMENT – Legislation for records relating to the drafting and passage of legislation through Parliament.</i></p> <p><i>See General Retention and Disposal Authority – Financial and Accounting Records – FINANCIAL MANAGEMENT for records relating to the receipt and management of fees, fines and other monies received by the organisation, for example, fees received from applicants for registration and examination and fines received from architects subject to disciplinary action, etc.</i></p>	
2.1.0	<b>Advice</b>	The activities associated with the offering of opinions to or by the organisation relating to the regulation of the practice of architecture in New South Wales. Includes the handling of enquiries from architects, other organisations and the public concerning registration and examination of architects, disciplinary action and standards of professional conduct and competence.	

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No	Function/Activity	Description	Disposal Action
		<p>See REGULATION OF ARCHITECTS – Disciplinary Action for records relating to the investigation of complaints against architects and the taking of disciplinary action against architects found guilty of breaching legislation, regulations and codes of professional conduct.</p> <p>See <i>General Retention and Disposal Authority – Administrative Records</i> – GOVERNMENT RELATIONS – Advice for records relating to the provision of advice to the Minister or other government organisations concerning the regulation of architects.</p> <p>See <i>General Retention and Disposal Authority – Administrative Records</i> – LEGAL SERVICES – Advice for records relating to legal advice from internal or external sources concerning the regulation of architects.</p>	
2.1.1		Final versions of circulars, guidelines, information sheets and other publications concerning the regulation, registration and examination of architects and standards of professional conduct and competence.	Required as State archives
2.1.2		<p>Records relating to the development of circulars, guidelines, information sheets and other publications concerning the regulation, registration and examination of architects and standards of professional conduct and competence. Includes:</p> <ul style="list-style-type: none"> <li>• guidelines for consumers, such as the Working with an Architect guideline</li> <li>• information sheets on the provisions of legislation, illegal use of title, the making of complaints or complaint handling processes, etc.</li> <li>• circulars of information on registering as an architect in New South Wales, assessment of overseas qualifications, the architectural practice exam and the built work program of</li> </ul>	Retain minimum of 3 years after last action, then destroy

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No	Function/Activity	Description	Disposal Action
		assessment, etc. Records include significant drafts and background research.	
2.1.3		Records relating to the provision of advice regarding the regulation of the practice of architecture. Includes advice provided to equivalent interstate organisations regarding a specific disciplinary action or complaint against a NSW architect. Records include requests for advice and responses.	Retain minimum of 10 years after last action, then destroy
2.1.4		Records relating to the handling of enquiries from architects, the public and other organisations concerning the regulation, registration and examination of architects and standards of professional conduct and competence. Includes general enquiries about application, examination and complaints processes, <b>not</b> regarding individual cases or complaints.	Retain minimum of 1 year after last action, then destroy
2.2.0	<b>Disciplinary Action</b>	The activities associated with the investigation of complaints and the taking of disciplinary action against architects for breaches of legislation and regulations. Includes the monitoring of advertising for illegal use of title.  <i>See General Retention and Disposal Authority – Administrative Records – LEGAL SERVICES – Litigation for records relating to the handling of appeals against disciplinary decisions and complaints lodged by architects and complainants.</i>	
2.2.1		Register of disciplinary action taken against architects. Register records: <ul style="list-style-type: none"> <li>• name of architect</li> </ul>	Required as State archives

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No	Function/Activity	Description	Disposal Action
		<ul style="list-style-type: none"> <li>• date of determination</li> <li>• description of case and outcome.</li> </ul>	
2.2.2		Register of complaints against architects. Register records: <ul style="list-style-type: none"> <li>• name of complainant and architect</li> <li>• location and nature of complaint</li> <li>• outcome (e.g. dismissed, fine, no further action, etc).</li> </ul>	Required as State archives
2.2.3		Records relating to the receipt and investigation of complaints against architects which lead to disciplinary action. Includes cases of professional misconduct referred to other organisations, such as the Administrative Decisions Tribunal for resolution. Also includes investigation of illegal use of title. Records include: <ul style="list-style-type: none"> <li>• complaints and supporting documentation, including drawings and plans</li> <li>• minutes of hearings and notices of determination</li> <li>• notifications to complainant and architect and local registration authorities of neighbouring jurisdictions</li> <li>• orders, cautions or conditions imposed on architect.</li> </ul>	Retain minimum of 12 years after last action, then destroy
2.2.4		Records relating to the receipt and investigation of complaints against architects which do <b>not</b> lead to disciplinary action, e.g. complaints deemed to be not substantiated or vexatious, or relating to matters	Retain minimum of 5 years after last action, then destroy

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No	Function/Activity	Description	Disposal Action
		<p>already dealt with. Records include:</p> <ul style="list-style-type: none"> <li>• complaints and supporting documentation, including drawings and plans</li> <li>• minutes of hearings and notices of determination</li> <li>• notifications to complainant and architect.</li> </ul>	
2.2.5		Records relating to the monitoring of advertising and investigation of inquiries or complaints concerning the illegal use of the title 'architect' that proceed to legal action.	Required as State archives
2.2.6		Records relating to the monitoring of advertising and investigation of inquiries or complaints concerning the illegal use of the title 'architect' that do <b>not</b> proceed to legal action.	Retain minimum of 12 years after last action, then destroy
2.2.7		Records relating to the receipt and investigation of complaints which relate to matters over which the organisation has no jurisdiction and are referred to another organisation for investigation.	Retain minimum of 1 year after last action, then destroy
2.3.0	<b>Examination of Architects</b>	<p>The activities associated with determining whether the qualifications, experience and knowledge of an architect are of a sufficient standard to allow them to be registered to practice in New South Wales.</p> <p>See REGULATION OF ARCHITECTS – Advice for records relating to information provided to candidates concerning examination and assessment processes.</p> <p>See REGULATION OF ARCHITECTS – Policy &amp; Procedures for records relating to the development and review of policies and internal procedures concerning the examination and assessment of architects.</p> <p>See REGULATION OF ARCHITECTS – Registration of Architects for</p>	

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No	Function/Activity	Description	Disposal Action
		<p>records relating to the registration of architects, annual registration renewal and changes to architects' status.</p> <p><i>See General Retention and Disposal Authority – Administrative Records – LEGAL SERVICES - Litigation for records relating to the handling of appeals lodged by candidates aggrieved by examination and assessment processes.</i></p>	
2.3.1		<p>Records relating to the examination of applicants applying for registration as architects. Includes application for the determination of eligibility to sit an examination, applications to sit an examination and the examination of candidates prior to registration as an architect. Includes applications for the Built Work Program of Assessment and the Architectural Practice Examination. Records include:</p> <ul style="list-style-type: none"> <li>• copies of applications and candidates' architectural qualifications</li> <li>• correspondence with candidates and examiners</li> <li>• notifications to candidates</li> <li>• examination results</li> <li>• reports and recommendations of examiners.</li> </ul>	Retain minimum of 10 years after last action, then destroy
2.3.2		<p>Records relating to the appointment of assessors to determine the eligibility of candidates to sit an examination for registration. Includes the appointment of Probity Observers for appeals against decisions of assessors. Records include notifications of selection and associated correspondence.</p>	Retain minimum of 10 years after last action, then destroy
2.3.3		<p>Registers of candidates for examinations required for registration as an architect, such as the Register of the Architectural Practice Examination</p>	Retain in agency

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No	Function/Activity	Description	Disposal Action
		(Green Book) and the Built Work Program of Assessment candidates.	
2.3.4		Records relating to the appointment of convenors and examiners. Records include nomination forms, notifications of selection and associated correspondence.	Retain minimum of 5 years after examiner is no longer on the NSW Roster of Examiners, then destroy
2.3.5		Records relating to arrangements for the conduct of examinations and pre-examination assessments, such as the Built Works Program of Assessment and the Architectural Practice Examination (APE). Records include: <ul style="list-style-type: none"> <li>• examination timetables</li> <li>• procedures and examination papers received from external organisations, such as the Architects Accreditation Council of Australia (AACAA)</li> <li>• administrative arrangements such as room bookings, notifications of examination and interviews, etc.</li> </ul>	Retain minimum of 3 years after last action, then destroy
2.4.0	<b>Policy &amp; Procedures</b>	The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, and standard methods of operating laid down by an organisation according to formulated policies.	
2.4.1		Records relating to the development of policies and procedures concerning the registration and regulation of architects. Records include:	Retain minimum of 10 years after superseded, then destroy

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No	Function/Activity	Description	Disposal Action
		<ul style="list-style-type: none"> <li>• final, approved versions of policies and procedures</li> <li>• significant drafts</li> <li>• proposals and background research</li> <li>• outcomes of consultation.</li> </ul>	
2.5.0	<b>Registration of Architects</b>	<p>The processes associated with the registration of architects to practise in New South Wales. Includes:</p> <ul style="list-style-type: none"> <li>• registration and renewals of registration</li> <li>• monitoring of continuing professional development (CPD) activities.</li> </ul> <p>See REGULATION OF ARCHITECTS – Examination of Architects for records relating to the examination and assessment of architects prior to registration.</p> <p>See REGULATION OF ARCHITECTS – Disciplinary Action for records relating to the investigation of and disciplinary action taken against breaches of legislation and regulations.</p> <p>See <i>General Retention and Disposal Authority – Administrative Records</i> – LEGAL SERVICES - Litigation for records relating to the handling of appeals lodged by architects against decisions to refuse registration or impose conditions on registration.</p> <p>See <i>General Retention and Disposal Authority – Financial and Accounting Records</i> – FINANCIAL MANAGEMENT for records relating to the receipt and processing of annual registration fees.</p>	

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No	Function/Activity	Description	Disposal Action
2.5.1		<p>Register of architects. Register records particulars of architects registered to practise in New South Wales, such as:</p> <ul style="list-style-type: none"> <li>• personal details</li> <li>• status history (practising or non-practising)</li> <li>• whether architect is or has been a nominated architect</li> <li>• registration type (e.g. temporary for overseas architects)</li> <li>• date on which registration comes into force and expires.</li> </ul>	Required as State archives
2.5.2		<p>Records relating to the registration of architects where</p> <ul style="list-style-type: none"> <li>• the architect has made a significant or unique contribution to the profession, for example membership of the Board, NSW Government Architect, president of the Royal Australian Institute of Architects (RAIA) or Architects Accreditation Council of Australia (AACA), university head of department, pioneering specialist, or</li> <li>• where the architect's registration has been cancelled or suspended by the Administrative Decisions Tribunal.</li> </ul> <p>Records include:</p> <ul style="list-style-type: none"> <li>• application and supporting documentation (e.g. certified copy of Architectural Practice Examination, copy of degree testamur, evidence of continuing professional development activities, evidence of interstate or New Zealand registration, details of experience as a nominated architect, evidence of professional indemnity insurance, etc.)</li> </ul>	Required as State archives

## Architectural profession regulation (NSW Architects Registration Board)

Authority no: FA274

Dates of coverage: 1921+

No	Function/Activity	Description	Disposal Action
		<ul style="list-style-type: none"> <li>• assessment and recommendations</li> <li>• conditions imposed on registration</li> <li>• notification of outcome</li> <li>• changes to architect's particulars and status (e.g. practising or non-practising architect)</li> <li>• correspondence with applicant.</li> </ul>	
2.5.3		<p>Records relating to the receipt and assessment of applications for registration as an architect. Includes registration of interstate or New Zealand architects and temporary registration of overseas architects. Records include:</p> <ul style="list-style-type: none"> <li>• application and supporting documentation (e.g. certified copy of Architectural Practice Examination, copy of degree testamur, evidence of continuing professional development activities, evidence of interstate or New Zealand registration, details of experience as a nominated architect, evidence of professional indemnity insurance, etc.)</li> <li>• assessment and recommendations</li> <li>• conditions imposed on registration</li> <li>• notification of outcome</li> <li>• changes to architect's particulars and status (e.g. practising or non-practising architect)</li> <li>• correspondence with applicant.</li> </ul>	Retain in agency

## Architectural profession regulation (NSW Architects Registration Board)

Authority no: FA274

Dates of coverage: 1921+

No	Function/Activity	Description	Disposal Action
2.5.4		Records relating to audits of continuing professional development (CPD) activities of registered architects, submitted at annual registration renewal time. Records include documents and details supplied and correspondence concerning outcomes of audit, etc.	Retain minimum of 7 years after last action, then destroy
2.5.5		Registers and lists of architect corporations and firms. Lists and registers contain the names, contact details and nominated architect/s of firms.	Retain in agency
2.5.6		Records relating to the nomination of responsible architects for a corporation or firm. Records include nominations, applications for change of details and supporting documentation.	Retain in agency
2.6.0	<b>Reviewing</b>	The activities involved in re-evaluating or re-examining, products, processes, standards and systems. Includes recommendations arising from these activities.	
2.6.1		<p>Records relating to reviews of processes, systems, etc. for the assessment, registration, regulation and examination of architects. Records include:</p> <ul style="list-style-type: none"> <li>• documents establishing the review</li> <li>• background research</li> <li>• significant drafts and final versions of review reports (file copies).</li> </ul>	Retain minimum of 10 years after last action, then destroy

## Architectural profession regulation (NSW Architects Registration Board)

Authority no: FA274

Dates of coverage: 1921+

No	Function/Activity	Description	Disposal Action
2.7.0	<b>Standards</b>	The activities associated with the development and review of professional standards and codes of conduct for architects. Includes contributions to standards and codes developed by external organisations, such as the Architects Accreditation Council of Australia (AACA).	
2.7.1		<p>Records relating to the development of professional standards and codes of conduct for architects, such as the NSW Code of Professional Conduct. Includes those developed jointly with external organisations, such as the National Competency Standards for Architecture. Records include:</p> <ul style="list-style-type: none"> <li>• final, approved versions of standards and codes</li> <li>• significant drafts, submissions and comments</li> <li>• background research</li> <li>• minutes of meetings</li> <li>• outcomes of consultation.</li> </ul>	Required as State archives